

RAJCHANDRA CAPITAL SERVICES PRIVATE LIMITED

CIN No. : U67120MH1997PTC112138

Registered Office

Bilquees Mansion, 2nd Floor, North Side, 261/263,
D. N. Road, Fort, Mumbai - 400 001.
Phone No. 022 - 2263 0748, Fax No. 022-2262 6087
E-mail : rajchandra@rajchandra.com.

Corporate Office

B-101/102, Skiffle, 1st Floor, 143, Vallabh Baug Extn. Road,
Above Bank of Baroda, Ghatkopar (E), Mumbai - 400 075
Phone No. 022 - 2506 6210 - 13 Fax No. 022 - 2506 9510.



Member of National Stock Exchange of India Ltd (NSE),

Bombay Stock Exchange Ltd (BSE),

Metropolitan Stock Exchange of India Ltd.

Depository Participant - CDSL

MEMBER CODE : NSE : 09936 / BSE : 0452 / MSEI : 46800

CDSL - DP ID : 12035300



DEMAT ACCOUNT NO. : _____

UCC Code (NSE) : _____ **UCC Code (BSE) :** _____

Back - Office Client Code : _____

Client Name : _____

Date of Account Opening : _____

DOCUMENTATION REQUIREMENTS

PROOF OF IDENTITY

1. Self attested copy of PAN Card (Mandatory)

PROOF OF RESIDENCE/ADDRESS (Any one of the following)

1. Self attested copy of Passport (within the validity period)
2. Self attested copy of Driving License (within the validity period)
3. Self attested copy of Voter ID Card —
4. Self attested copy of Electricity Bill (Bill date not more than two months old)
5. Self attested copy of Telephone Bill (landline connection) (Bill date not more than two months old)
6. Self attested copy of Bank Passbook / Bank Statement (with transactions not more than two months old with proper Bank logo or to be certified by the Bank). The statement/passbook should come along with a copy of cheque leaf (both should bear same account number)
7. Self attested copy of Agreement for sale
8. Self attested copy of Rent agreement / Leave & license agreement
9. Self-declaration by High Court & Supreme Court judges, giving the new address in respect of their own accounts.
10. Identity card/document with address, issued by a) Central/State Government and its Departments, b) Statutory/Regulatory Authorities, c) Public Sector Undertakings, d) Scheduled Commercial Bank:s, e) Public Financial Institutions, f) Colleges affiliated to Universities (**this can be treated as valid only till the time the applicant is a student**) and g) Professional Bodies such as ICAI, ICWAI, Bar Council etc., to their Members.

Note:-

If Correspondence address and Permanent address are different, please provide proof for both the addresses.

Agreement for sale is valid for both Correspondence and Permanent address.

Rent agreement / Leave & license agreement is valid only for Correspondence address.

Office address or care off addresses cannot be a Permanent address.

PROOF OF BANK ACCOUNT (Any one of the following)

1. Cancelled cheque leaf (bearing pre-printed name of tile client)
2. Self attested copy of Bank Passbook bearing name and address of client.
3. Self attested copy of Bank Statement bearing pre-printed name and address of the client with transaction not more than four months old.

Note:-

In case of Bank Statement / Bank Passbook, it should be with proper Bank logo or to be certified by the Bank and bearing address of the client and MICR code of the branch. Document should be self-certified by the client.

Age Proof to be submitted in case nominee of the demat account is a minor.

All copies to be self attested by client and all joint holders.

INSTRUCTIONS TO FILL THE FORM

1. The client(s) need to fill the form themselves.
2. Please fill the form with BLACK INK and in ENGLISH only.
3. Please fill all details in BLOCK LETTERS. Leave blank between words. In case any of the columns is not applicable, please mention N.A. Incomplete forms are liable to be rejected.
4. All documents submitted as proofs must be SELF ATTESTED by the client and all joint holders. Signature can be in English, Hindi or any other language mentioned in the Schedule 8th of the Constitution of India. Signatures other than in the above mentioned languages and thumb impressions must be attested by a Magistrate or a Notary public or a special executive magistrate under his/her official seal.
5. Please make available the original documents at the time of account opening for verification.
6. Please ensure that the signature is affixed at all the places specified on the form.
7. Please write your name in proper sequence (first name, middle name, last name)
8. Clearly specify the complete postal address with city, state and pincode as it appears on the documents submitted.
9. Photocopies of a photograph will not be accepted. Photograph submitted should be passport size, front facing and with a plain background. Client should sign across in such a manner where part of the signature is on the photo and the other part is on the form.
10. Name, address and signature of the witness are mandatory.
11. All correspondence shall be addressed to the First / sole applicant only.
12. Email ID and landline number / mobile number are mandatory.
13. All authorities need to sign or put initials wherever indicated.

Please enter the relevant details and update the Client Registration Form on the website (www.rajchandra.com)

ACCOUNT OPENING KIT

| S. No. | Name of the Document | Brief Significance of the Document | Page No. |
|---|--|---|----------|
| MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE | | | |
| 1. | Account Opening Form | A. KYC & CERSAI Annexure form - Document captures the basic information about the constituent and an instruction/checklist. | 01-05 |
| | | B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list. | 06-08 |
| 2. | Rights and Obligations | Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading). | 09-13 |
| 3. | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market. | 14-17 |
| 4. | Guidance note | Document detailing do's and don'ts for trading on exchange, for the education of the investors. . | 18-19 |
| 5. | Policies and Procedures | Document describing significant policies and procedures of the stock broker. | 20-23 |
| 6. | Tariff sheet | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s). | 24 |
| VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER | | | |
| 7. | Terms and Conditions | All the terms and conditions of trading with RCSPL. | 25-31 |
| 8. | Authority for Running Account | Authority Letter in favour of Broker to maintain running account of Fund and securities instead of settling on settlement basis. | 32 |
| 9. | Authority for Electronic Contract Note (ECN) | Authority Letter in favour of Broker to send contract note electronically on the email id mentioned. | |
| 10. | Letter for Operation Account | Authority Letter and details regarding such authorised persons. | 33-34 |
| 11. | Acknowledgement of receipt of documents | Details of copy of executed KYC documents received. | 35 |
| CDSL SECTION | | | |
| 12. | Depository Account Opening Documents | Depository Account Opening Documents | 36-56 |
| 13. | FATCA-CRS Annexure | For Individual Accounts (including sole Proprietor) | 57-58 |

| Exchange and Segment | SEBI Reg. No. | Date |
|--|---------------|----------------|
| BSE Cash and Derivatives | INZ000233334 | March 11, 2019 |
| NSE Cash, Derivatives and Currency Derivatives | INZ000233334 | March 11, 2019 |
| MSEI Currency Derivatives | INZ000233334 | March 11, 2019 |

NAME OF STOCK BROKER : **RAJCHANDRA CAPITAL SERVICES PVT. LTD** Website: www.rajchandra.com

Register Office : Bilquees Mansion, 2nd Floor, North Side, 261/263, D.N. Road, Fort, Mumbai
Ph : +91 22 22630748, 22620625 Fax No.+91 22 222626087

Corporate Office : B/101-102, SKIFFLE, 143, V.B. Extension Road, Above Bank of Baroda,
Ghatkopar (East), Mumbai - 400 075. Ph: +91 22 25066210/11/12/13,
Fax No.+91 22 25069510.

Clearing Member : **Edelweiss Custodial Services Limited** SEBI Registration No. INZ000177437

Address : Regd. Office: Tower 3, Wing B, Kohinoor City Mall, Kohinoor City, Kiroi Road,
Kurla West, Mumbai - 400070. Email:- Ecls.compliance@edelweissfin.com

Compliance officer details : Sunil G. Surana Tel: +91 2225066210-13,
Email ID: sunil_cooldude84@yahoo.co.in, Mob: 9820580560

CEO name, phone no. & email id : Pinky Lapasia Tel: +91 22 25066210-13 Email id: pinkylapasia@yahoo.com

For any grievance/dispute please contact **Rajchandra Capital Services Pvt. Ltd** at the above address or email id- investor@rajchandra.com and Phone no. **+91 22 25066210/11/12/13**. In case not satisfied with the response, please contact the concerned exchange(s) **NSE** at ignse@nse.co.in and Tel.: +91-22-2659 8190 and **BSE** at is@bseindia.com and Tel: 91-22-22728097 and **MSEI** at Email- investorcomplaints@msei.in Phone no. +91 22 6112 9000. for BSE - Arbitration Tel:- 022 2272 8237 E-mail id: stanies.crasto@bseindia.com, Complaints against Member Brokers Tel:- 022 2272 8517/8097 & Complaints against Companies Tel:-022 2272 8138 E-mail id: ignse@nse.co.in

PROPRIETARY TRADING DISCLOSURE

As per the SEBI requirements, we hereby inform you that depending upon the market conditions, the member, its directors and its associates do invest/trade in capital/derivatives segments. You may please note the same.

Know Your Client (KYC)**Application Form (For Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked † are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

...Exploring New Horizons

**Rajchandra Capital Services Pvt. Ltd.**

Application Number: _____

Application Type*: New KYC Modification KYC**KYC Mode*:** Please Tick (✓) Normal EKYC OTP EKYC Biometric Online KYC Offline EKYC Digilocker**1. Identity Details** (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name† (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female TransgenderMarital Status* Single MarriedNationality* Indian Other _____Residential Status* Resident Individual Non Resident IndianPlease Tick (✓) Foreign Notional Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)

Applicant Photo

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

 A — Aadhaar Card XXXX XXXX _____ B — Passport Number _____ (Expiry Date) _____ C — Voter ID Card _____ D — Driving License _____ (Expiry Date) _____ E — NREGA Job Card _____ F — NPR _____ Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)**A. Correspondence/ Local Address***

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____
 Line 2 _____
 Line3 _____
 City/
 Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX ____ _
 B — Passport Number _____ (Expiry Date) ____ _
 C — Voter ID Card _____
 D — Driving License _____ (Expiry Date) ____ _
 E — NREGA Job Card _____
 F — NPR Leter _____
 Z—Others _____ (any document notified by Central Government)
 Identification Number _____

3. Contact Details

Email ID _____
 Mobile No. ____ - _____
 Tel (off) ____ Tel (Res) ____

4. Applicant Declaration

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

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

DATE. ____ (DD-MM-YYYY)

PLACE. _____

Applicant e-SIGN

Applicant Wet Signature

5. For Office Use Only

| In-Person Verification (IPV) carried out by* | Intermediary Details* |
|---|---|
| IPV Date ____ Emp. Name _____ Emp. Code _____ Emp. Designation _____ | <input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name . _____ |
| Employee Signature and Stamp | Institution Name and Stamp |

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card de-tails with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. 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. Online Mode Processing of KYC:

1. EKYC BIOMETRIC
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be e-signed.
 - Applicant details are verified using UIDAI Biometric details.
 - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
 - Intermediary attestation on documents is exempted.
2. EKYC OTP
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be e-signed.
 - Applicant details are verified using UIDAI details using OTP.
 - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
 - Intermediary attestation on documents is exempted.
3. ONLINE KYC
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be e-signed.
 - Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
 - Intermediary attestation on documents (OSV) is exempted.
4. OFFLINE EKYC
 - Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
 - The documents should be e-signed.
 - Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
 - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
5. DIGILOCKER
 - Digital KYC performed through the documents (OVD) sourced from Digilocker.
 - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
 - Intermediary attestation on documents is exempted.



Rajchandra Capital Services Pvt.Ltd.

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

Important Instructions:

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



For office use only

(To be filled by financial institution)

Application Type* New Update

KYC Number (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

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

| | | | | |
|---|--|---|---|----------------------|
| | Prefix | First Name | Middle Name | Last Name |
| <input type="checkbox"/> Name* (Same as ID proof) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Maiden Name (If any*) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Father / Spouse Name* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Mother Name* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Date of Birth* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Gender* | <input type="checkbox"/> M- Male | <input type="checkbox"/> F- Female | <input type="checkbox"/> T-Transgender | |
| Marital Status* | <input type="checkbox"/> Married | <input type="checkbox"/> Unmarried | <input type="checkbox"/> Others | |
| Citizenship* | <input type="checkbox"/> IN- Indian | <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>) | | |
| Residential Status* | <input type="checkbox"/> Resident Individual | <input type="checkbox"/> Non Resident Indian | | |
| | <input type="checkbox"/> Foreign National | <input type="checkbox"/> Person of Indian Origin | | |
| Occupation Type* | <input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector | <input type="checkbox"/> Public Sector | <input type="checkbox"/> Government Sector) | |
| | <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional | <input type="checkbox"/> Self Employed | <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) | |
| | <input type="checkbox"/> B-Business | | | |
| | <input type="checkbox"/> X- Not Categorized | | | |

PHOTO



(3)

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

| | | | |
|--|----------------------|-----------------------------|----------------------|
| <input type="checkbox"/> A- Passport Number | <input type="text"/> | Passport Expiry Date | <input type="text"/> |
| <input type="checkbox"/> B- Voter ID Card | <input type="text"/> | | |
| <input type="checkbox"/> C- PAN Card | <input type="text"/> | | |
| <input type="checkbox"/> D- Driving Licence | <input type="text"/> | Driving Licence Expiry Date | <input type="text"/> |
| <input type="checkbox"/> E- UID (Aadhaar) | <input type="text"/> | | |
| <input type="checkbox"/> F- NREGA Job Card | <input type="text"/> | | |
| <input type="checkbox"/> Z- Others (any document notified by the central government) | <input type="text"/> | Identification Number | <input type="text"/> |
| <input type="checkbox"/> S- Simplified Measures Account - Document Type code | <input type="text"/> | Identification Number | <input type="text"/> |

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)

Voter Identity Card NREGA Job Card Others please specify

Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

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

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*

Line 2

Line 3 City / Town / Village*

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

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

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

FAX - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Prefix First Name Middle Name Last Name

Name*

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

[Signature / Thumb Impression]

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

(4)

Date : - - Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

| KYC VERIFICATION CARRIED OUT BY | INSTITUTION DETAILS |
|---------------------------------------|---------------------------|
| Date <input type="text"/> | Name <input type="text"/> |
| Emp. Name <input type="text"/> | Code <input type="text"/> |
| Emp. Code <input type="text"/> | <input type="text"/> |
| Emp. Designation <input type="text"/> | |
| Emp. Branch <input type="text"/> | |
| <input type="text"/> | |
| <input type="text"/> | [Institution Stamp] |

*For more details Regarding central KYC Registry / Instructions / Check list / Guideline for filling CKYC Application form please log on to www.ckcindia.in

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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
3. Identify 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 Proofs of Address : (*Documents having an expiry date should 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 Station/Authority
6. Identity card / document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs,

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 of Multinational Foreign Banks.
(Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorised officials of overseas branches of scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy / Consulate General the country where the client resides are permitted to attest 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 | <ul style="list-style-type: none"> • Proof of Existence/Constitution document • Resolution of the managing body & Power of Attorney granted to transact business on its behalf • Authorized signatories list with specimen signatures |
| Banks/Institutional Investors | <ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures |
| Foreign Institutional Investors (FII) | <ul style="list-style-type: none"> • Copy of SEBI registration certificate • Authorized signatories list with specimen signatures |
| Army/Government Bodies | <ul style="list-style-type: none"> • Self-certification on letterhead • Authorized signatories list with specimen signatures |
| Registered Society | <ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary |

TRADING ACCOUNT RELATED DETAILS FOR INDIVIDUALS & NON-INDIVIDUALS

A. BANK ACCOUNT(S) DETAILS

| 1. Bank Name | Branch Address | Bank A/c No. | Account Type : Saving / Current /Others-in case of NRI / NRE / NRO | MICR Number | IFSC code |
|--------------|----------------|--------------|--|-------------|-----------|
| | | | | | |
| | | | | | |

B. DEPOSITORY ACCOUNT(S) DETAILS

| Depository Participant Name | Depository Name (NSDL/CDSL) | Beneficiary name (BOID) | DPID | Beneficiary ID |
|-----------------------------|-----------------------------|-------------------------|------|----------------|
| | | | | |
| | | | | |

C. TRADING PREFERENCES

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

| Exchanges | Segments | Signature of Client for trading preference | Exchanges | Segments | Signature of Client for trading preference |
|-----------------------------|----------------------|--|-------------------------------|----------------------|--|
| Bombay Stock Exchange (BSE) | Cash | <input type="checkbox"/> | National Stock Exchange (NSE) | Cash | <input type="checkbox"/> |
| Bombay Stock Exchange (BSE) | Derivatives | <input type="checkbox"/> | National Stock Exchange (NSE) | Derivatives | <input type="checkbox"/> |
| Bombay Stock Exchange (BSE) | Currency Derivatives | <input type="checkbox"/> | National Stock Exchange (NSE) | Currency Derivatives | <input type="checkbox"/> |
| MSEI | Currency Derivatives | <input type="checkbox"/> | | | |

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

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/AP, provide the following details :

Sub-broker/AP Name _____ SEBI Registration number _____

Registered office address _____ Ph. : _____

Fax _____ Website _____

Whether dealing with any other stock broker/sub-broker (if 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. OTHER DETAILS

1. Gross Annual Income Details (please specify):

Income Range per annum : Below Rs 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs-1 Crore >1 Crore

Net-worth as on(date) _____ (DATE) (Net worth should not be old 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(Specify) _____

3. Please tick, if applicable: Politically Exposed Person (PEP) _____ Related to a Politically Exposed Person (RPEP) _____

4. Any other information: _____

G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): _____
Specify your Email id, if applicable: _____
- Whether you wish to receive Rights & Obligations of stock broker, sub-broker and client as prescribed by SEBI and stock Exchanges (including additional rights & obligations in case of internet / wireless technology based trading); Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories; Uniform Risk Disclosure Documents (for all segment / exchanges); and guidance Note detailing Do's and Dont's for trading on stock exchanges (please specify):
 Physical Electronic
- 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 : _____
- Any other information : _____

H. INTRODUCER DETAILS (optional)

Name of the Introducer : _____
(Surname) (Name) (Middle Name)

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

Address and phone no. of the Introducer : _____ Signature of the Introducer : _____

I. NOMINATION DETAILS

| TM / DP Name and Address | | FORM FOR NOMINATION (To be filled in by individual applying singly or jointly) | | | | | | | | | | | | | | | | | | | | | |
|---|--|---|---|---|---|---|------------------------------------|---|-----------|---|---|------------------------------------|---|--|--|-----------|--|--|--|--|--|--|--|
| Date | D | D | M | M | Y | Y | Y | Y | UCC/DP ID | I | N | | | | | Client ID | | | | | | | |
| I/We wish to make a nomination. [As per details given below] | | | | | | | | | | | | | | | | | | | | | | | |
| Nomination Details | | | | | | | | | | | | | | | | | | | | | | | |
| I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death. | | | | | | | | | | | | | | | | | | | | | | | |
| Nomination can be made upto three nominees in the account. | | Details of 1 st Nominee | | | | | Details of 2 nd Nominee | | | | | Details of 3 rd Nominee | | | | | | | | | | | |
| 1 | Name of the nominee(s) (Mr./Ms.) | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Share of each Nominee | Equally <small>[If not equally, please specify percentage]</small> | % | | | | | % | | | | | % | | | | | | | | | | |
| <i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i> | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | Relationship With the Applicant (If Any) | | | | | | | | | | | | | | | | | | | | | | |
| 4 | Address of Nominee(s) City / Place: State & Country: | | | | | | | | | | | | | | | | | | | | | | |
| | | PIN Code | | | | | | | | | | | | | | | | | | | | | |

| | | | | |
|--|--|--|--|--------------------------------|
| 5 | Mobile / Telephone No. of nominee(s) | | | |
| 6 | Email ID of nominee(s) | | | |
| 7 | Nominee Identification details – [Please tick any one of following and provide details of same] Photograph & Signature PAN <input type="checkbox"/> Aadhaar Saving Bank account no. Demat Account ID | | | |
| Sr. Nos. 8-14 should be filled only if nominee(s) is a minor: | | | | |
| 8 | Date of Birth {in case of minor nominee(s)} | | | |
| 9 | Name of Guardian (Mr./Ms.) {in case of minor nominee(s)} | | | |
| 10 | Address of Guardian(s) | | | |
| | City / Place: | | | |
| | State & Country: | | | |
| | PIN Code | | | |
| 11 | Mobile / Telephone no. of Guardian | | | |
| 12 | Email ID of Guardian | | | |
| 13 | Relationship of Guardian with nominee | | | |
| 14 | Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN account no. Proof of Identity <input type="checkbox"/> Demat Account ID | | | |
| Name(s) of holder(s) | | | | Signature(s) of holder* |
| Sole / First Holder (Mr./Ms.) | | | | |
| Second Holder (Mr./Ms.) | | | | |
| Third Holder (Mr./Ms.) | | | | |

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

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

| | | | | | | | | | |
|--|------|---|---|---|---|---|---|---|---|
| To | Date | D | D | M | M | Y | Y | Y | Y |
| Trading Member/Participant's Name | | | | | | | | | |
| Trading Member/Participant's Address | | | | | | | | | |
| UCC/DP ID | I | N | | | | | | | |
| Client ID (only for Demat account) | | | | | | | | | |
| Sole/First Holder Name | | | | | | | | | |
| Second Holder Name | | | | | | | | | |
| Third Holder Name | | | | | | | | | |
| I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account. | | | | | | | | | |
| Name and Signature of Holder(s)* | | | | | | | | | |
| 1. _____ 2. _____ 3. _____ | | | | | | | | | |

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

DECLARATION

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

Place : _____

 (6) (_____)

Date : _____

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

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

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

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

Signature of the Authorised Signatory

Date

Seal/Stamp of Rajchandra Capital Services Pvt. Ltd

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.

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.
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.

MARGINS

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.
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.

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.
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.

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

the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

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

the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system

failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker,

which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts

- expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.
- 1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security/derivatives contract.
- 1.3 Risk of Wider Spreads:**
Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.
- 1.4 Risk-reducing orders:**
The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.
- 1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.
- 1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.
- 1.4.3** A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre -determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the predetermined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.
- 1.5 Risk of News Announcements:**
News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.
- 1.6 Risk of Rumors:**
Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.
- 1.7 System Risk:**
High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.
- 1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.
- 1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no

outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the

amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

- 1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
- 3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice

will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

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

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com / www.bseindia.com / www.msei.in 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.
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 money or securities deposited and from which bank/demat account.

TRANSACTIONS AND SETTLEMENTS

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

- 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.

a. Refusal of orders for penny stocks :

Although, the term 'Penny Stock' has not been defined by BSE / NSE / MSEI or any Stock Exchanges or SEBI, a penny stock generally refers to a stock which has following characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list of illiquid securities is jointly released by NSE & BSE/MSEI from time to time.);
- Any other stock that the Company might intend to restrict the dealings in.

Rajchandra Capital Services Pvt. Ltd. (hereinafter called "the Stock Broker") recognizes that it is client's privilege to choose shares in which he / she would like to trade. However, the Stock Broker likes to have special attention to dealing in 'Penny Stocks'. To this end,

- The Stock Broker may refuse to execute any client's orders in penny stocks without assigning any reason for the same.
- Any large order for purchase or sale of a 'Penny Stocks' should be referred to Head - Dealing.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny Stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of the Stock Broker.
- In case of sale of penny stocks, client should ensure delivery of shares to the Stock Broker before the pay-in date.

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 stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions /limits (such as broker level /market level limits insecurity 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 put any order placed by the client subject to a review before its entry into the trading systems. It also 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 the 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.

c. Applicable brokerage rate

- Brokerage shall be levied as per the rate agreed upon in the Client registration form or such further modification that may have been agreed upon between the client and the Company. Any increase in brokerage to client will be communicated to the client and shall be affected only after obtaining the consent of the client in writing.
- The maximum brokerage chargeable will not exceed as prescribed by SEBI and exchanges.

- d. **Imposition of penalty / Delayed payment charges**
- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
 - If there is delay on the part of client in satisfying his/her margin obligation or settlement obligations, then, the Stock Broker may levy interest at the rate of 2% p.m. or part thereof on such shortage amount.
 - No interest or charges will be paid by the Stock Broker to any client in respect of retention of funds or securities towards meeting future settlement obligation and in respect of running account authorizations.
- e. **The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues to the extent of settlement / margin obligation.**
- 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, in case the client fails to make payment of margins or other amounts including the pay in obligation, lawful outstanding debts and adjust the proceeds of such liquidation/close out, if any, against the clients lawful liabilities / obligations.
 - The client shall ensure timely availability of funds / securities in the form and manner, as prescribed in this regard, at designated time and in designated bank and depository account(s) of the Company, for meeting his/her/its pay in obligation of funds and securities. All losses and financial charges on account of such liquidations/closing out shall be borne by the client.
 - Where the margin is made available in the form of securities or any other asset, the stock broker shall empowered to decline its acceptance or may accept it at such reduce value as the stock broker may deem fit by applying haircuts atleast at the rate prescribed by exchange or by valuing it by marking it to market or by any other approved method as the stock broker may deem fit in its absolute discretion.
- The stock broker has the right but is not under 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 while Mark to Market (M-T-M) percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market conditions. 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). The failure of the stock broker to close out the position or sell / liquidate the collaterals shall not render it ineligible to take other actions including arbitration and other legal options against the clients who have failed to make payments to the stock broker.
- f. **Close out incase of Internal Shortage:**
- If client has short delivered any securities against his/her/its pay in obligation which resulted into internal shortage i.e. adjusted against buy position of another client of the stock broker and couldn't be auctioned in the market, then close out price will be 10% above the closing price on the Auction Day or closing price of trading day of the settlement whichever is higher. The stock broker may revise such other percentage from time to time provided the same is inform to the client and consent is obtained. In case of the Purchaser he/she/it will receive a credit of the amount calculated as per the above formula.
- g. **Conditions under which client may not be allowed to take further Position or the broker may close the existing position of the client**
- The Stock Broker shall have absolute discretion and authority to restrict or limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following conditions:
- Extreme volatility in a market, segment, scrip or contract.
 - If there is shortfall in the margin deposited by client with the Stock Broker.
 - If there is any trading restrictions on the client by any regulator.

- If there are any unforeseen adverse market conditions or any natural calamities affecting the operations of market.
 - If there are any restrictions imposed by Exchange or Regulator on the volume of the trading outstanding positions of contracts.
 - If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
 - If the Stock Broker is nearing or has reached the exposure, turnover or other limit.
 - If the client is nearing or has breached the client wise limit.
 - If the client has taken or intends to take new position in a security that is in the ban period.
 - If market closes due to extreme movement.
 - Such other reason that the stock broker may feel appropriate from time to time.
- 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 of such suspension, the client shall be prohibited from executing any transaction through the stock broker. However, client shares/ledger balance settlement can take place.
 - The client account shall also be suspended if it remains dormant for a period of 6 months or such other period as may be decided by the stock broker from time to time.
 - 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.
 - The stock broker may, if so desired, offer the facility of suspension, reactivation or closure through the designated email id of the client or through secured login instead of a written request.
- i. Deregistering a Client**
- The Stock Broker may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances, under which The Stock Broker may deregister client, are given below:
 - SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market or has levied any penalty on the client.
 - If a client is charged for or convicted for violation of any law, rule, regulation, guideline by any Exchange, Depository, Self Regulated Organization, Regulator, Judicial body or Quasi Judicial body.
 - Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering. Such client's name appears in the UN list of prohibiting entities or SEBI debarred list.
 - Such client's account has been lying dormant for a long time or client is not traceable. Such client has declared insolvent or any legal proceedings to declare him/her as such have been intended.
 - Such client has been irregular in fulfilling obligations towards margin or settlement dues.
 - Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of the Stock Broker or may act as detriment to the Stock Broker prospects.
 - If the actions of the client are such that create grounds for suspicion or are prima facie illegal or improper or may appear to disturb the normal functioning of the market or appear to be manipulative or deceptive in nature, either alone or in conjunction with others.
 - On the death/lunacy or other disability of the Client; if there is a reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts to the stock broker or any other person.
 - If the Client is in breach of any term, condition or covenant of the mandatory and voluntary client registration document.

- If the Client has made any material misrepresentation of facts, including (without limitation) in relation to Security.

Treatment of inactive accounts:

Client account will be considered as inactive if the client does not trade for a period of 12 month. The working shall be done on day to day basis and those clients who have not executed any transaction in the preceding 12 months shall be treated as inactive. The Client has to make written request for reactivation of his/her/its account.

The stock broker may, if so desired, offer the facility of request for reactivation through the designated email id of the client or through secured login instead of a written request. Payout of funds and securities during the period of inactivation will be done as per the applicable

circulars, laws, rules & regulation of SEBI/Exchange.

Client Acceptance of Policies and Procedures stated here in above:

I/We have fully understand the same and do hereby sign the same. These Policies and Procedures may be amended / changed unilaterally by the broker; provided the change is informed to me / us in writing with through any one or more means or approved methods. These Policies and Procedures shall always be read along with the mandatory and voluntary client registration document 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. In case of any objection to any of the clauses, the same will be informed to you in writing within a period of 15 days of receipt of the changes.

POLICY ON HANDLING OF CLIENT'S SECURITIES

In case if the payin of funds is not received and credited to the Rajchandra Capital Services Pvt Ltd client bank account, Rajchandra Capital Services Pvt Ltd shall hold the securities with them till 5thday from receipt of payout of securities from the Exchange.

Rajchandra Capital Services Pvt Ltd shall transfer the securities received in payout partially or fully to the client's BO account according to the client's outstanding amount getting realized partially or in full only by way of receipt of clear funds, but considering the future obligations of unsettled transactions and margin payable on the same.

Based on client instructions, securities (after applying hair cut) available in excess of the client's outstanding trade related obligations may be transferred to client BO account as a part of the retention for actual settlement of funds and collateral.

Excess collateral held in "Client Collateral" account will be released to the clients once in every 30/90 days as opted by clients through the Running Account Authorization letter provided in the client registration document and in accordance with the retention norms of Exchanges as applicable from time to time.

The Rajchandra Capital Services Pvt Ltd may, however, at its discretion, transfer the unpaid securities to Client's BO account based on the credentials and credit worthiness of the client.

Internal Shortage means one client has failed to give the delivery of the securities sold, which has resulted into short delivery to other client(s). In such an event, the transaction shall stand closed out by adopting following methodology:-

Closing price of securities as on T+2 day plus 10%.

SQUARE OFF POLICY

- Open positions in CM segment may be squared off on 5th trading day from the settlement day to the extent of due debit and unsettled obligation amount. However, the treatment shall be based on the below scenarios presented.

Scenario 1 - Ledger Account is in debit for 3 continuous days from settlement date and Payment is made by cheque on or after 3rd day of debit reckoned from settlement day and the securities remain unpaid on 5th trading day from the settlement day due to unclear status of funds into the bank account of Rajchandra Capital Services Pvt Ltd., the unpaid stocks shall be squared off on the 5th trading day from the settlement day.

Scenario 2 - Ledger Account is in debit on 5th trading day from the settlement day and clients existing delivery stocks are sold on 4th day or 5th day of debit reckoned from settlement day and the securities sold are delivered for payin by 5th day of debit reckoned from settlement day, then the unpaid stocks shall be transferred to the clients BO account on the 5th trading day from the settlement day.

- In case of square off, securities available in unpaid securities account may be sold proportionate to the outstanding amount or based on liquidity/ depth in market.
- No fresh exposure will be allowed on square off day unless on receipt of clear funds / credit balance in ledger from sale proceeds.

Ledger balance for all purposes will be considered on the basis of realized balances excluding unclear cheque credit.

However, management at their sole discretion may take any informed decision to deviate from the aforementioned policy in certain instances on a case to case basis.

 (7) Client Signature: _____

Date: _____

Client Code: _____

**RAJCHANDRA CAPITAL SERVICES PVT. LTD.
TARIFF SHEET FOR BROKING OPERATIONS (MANDATORY)**

| | |
|--------------|--------------|
| Client Code: | Client Name: |
|--------------|--------------|

BROKERAGE SCHEDULE – CAPITAL MARKET SEGMENT:

| Capital Market Segment (cash) | | | Capital Market Segment (Delivery) | | |
|-------------------------------|-----------|------------------------|-----------------------------------|-----------|------------------------|
| Trading | Brokerage | For Bo Use (Table no.) | | Brokerage | For Bo Use (Table no.) |
| 1st Leg | % | | Default | % | |
| 2nd Leg | % | | Minimum | Paise | |
| Minimum | | | | | |

BROKERAGE SCHEDULE – DERIVATIVES/CURRENCY SEGMENT:

| Derivatives Segment | | | | Currency Derivatives Segment | | |
|---------------------|--------|--------|------------------------|------------------------------|--------|------------------------|
| Normal | Future | Option | For Bo Use (Table no.) | Future | Option | For Bo Use (Table no.) |
| 1st Leg | % | | | % | | |
| 2nd Leg | % | | | % | | |
| Minimum | Paise | | | Paise | | |

All Statutory Charges to be levied on the turnover as follows:

| | | | |
|--|-------|--------------------------------|------------------------------|
| Transaction charges: At Actuals | Stamp | Duty: At Actuals | GST: At Actuals |
| Securities Transaction Tax: At Actuals | | SEBI Turnover Fees: At Actuals | Clearing Charges: At Actuals |

- Minimum Brokerage per contract note:** Rs. 25/- or 2.5% of trade value whichever is lower.
Rate of one and a half percent per month or part thereof in case of dues of the clients where the matter has been referred to arbitration in case of disputes.
- Penalty/Charges levied by SEBI / Exchanges:** The actual amount of penalty/fees/fines/other charges levied by the Exchanges/Clearing House/Clearing Corporation/SEBI/any other regulator on Rajchandra Capital Services Pvt. Ltd. due to the acts/actions/orders/trades of the clients including but not restricted to charges/penalty for client code rectification and charges/penalty for short margins in the derivatives segment.
- All reasonable costs, including, but not limited to, legal expenses incurred by RCSPL for collecting unpaid lawful dues, charges on delayed payments, transaction charges in relation to shares of Client retained with RCSPL, Account maintenance charges @ Rs. ____/-

OTHER LEVIES AS PREVALENT FROM TIME TO TIME:

- If the client does not make a pay-in on T+2 basis or if any outstanding debit balance in the account, delayed payment charges @ 2% p.m. or part thereof will be levied on the client.
- Cheque return charges at actuals.

(8) Client Signature: _____ RM's Signature : _____

Client Code: _____ Name of the RM _____

Date: _____

VOLUNTARY DOCUMENTS



**RAJCHANDRA CAPITAL SERVICES PVT. LTD.
VOLUNTARY TERMS AND CONDITIONS**

Whereas the client intends to open securities trading accounts with Rajchandra Capital Services Pvt. Ltd. (hereinafter referred to as RCSPL) for the purpose of trading on Cash, F&O and Currency Derivative Segments of the National Stock Exchange of India Ltd. the Bombay Stock Exchange of India Ltd., and the MSEI Exchange Ltd.,

And whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by RCSPL and also the additional services that may be made available by RCSPL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions.

The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the consent between the parties and bind them fully and be enforceable by each party against the other.

1. Authorization to debit additional charges: Without prejudice to the other rights and obligations of the parties, the client understands and agrees that RCSPL may levy additional charges as mentioned in the tariff sheet for any additional services rendered by RCSPL as may be required by the Client, and recover from the Client all reasonable costs, including, but not limited to, legal expenses incurred by RCSPL for collecting unpaid lawful dues from the Client, charges on delayed payments, transaction charges in relation to shares of Client retained with RCSPL account maintenance charges.

2. Authorization for collection of AMC in respect of Demat A/c: Client authorizes RCSPL to debit Annual Maintenance Charges and all transaction charges payable by it in respect its Demat A/c with RCSPL to the broking account of the Client in any of the segments.

3. Payment by cheque: Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favor of RCSPL, trades may be executed at the discretion of RCSPL only upon realization of the funds of the said cheque / pay order / demand draft.

4. Settlement Obligations: Where settlement obligations, whether of fund/securities are not discharged by the Client on time, RCSPL reserves the right not to release fund/security (pay out) to the Client. RCSPL may withhold pay-out of securities until cheque / pay order / demand draft issued by the Client is realized. This is without prejudice to the other remedies available to

RCSPL in the event of default by the Client in discharging the settlement obligations in accordance with the Rules, Regulations and Bye-laws of the respective Stock Exchange.

5. Lien: All securities and/or funds of the Client placed with RCSPL shall be subject to a lien for the payment or fulfillment of all un-discharged lawful liabilities and lawful obligations of the Client in relation to its transactions. RCSPL shall be entitled to withhold any securities and/or funds of the Client as security towards any such un-discharged lawful liabilities or lawful obligation of the Client and to sell and/or appropriate to itself all such securities and/or funds at its sole discretion and at any point of time.

6. Pay out of securities/fund: In order to facilitate operations, the Client authorizes RCSPL to maintain a running account with RCSPL instead of settlement to settlement clearance of funds/securities due to Client. The pay out of funds/securities may be retained by RCSPL in the running account and no interest shall be payable by RCSPL on such securities/funds so retained. The Client authorizes RCSPL to transfer the securities so retained by RCSPL in any settlement or inter-settlement towards the pay-in obligation of the Client against future sale. The Client also authorizes RCSPL to consider the funds/securities so retained by RCSPL towards collateral margin and for allowing enhanced gross exposure to the Client. The Client agrees that RCSPL shall not be liable for any claim for loss or loss of profit, or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds. On written request of the Client, RCSPL may release funds/securities to him, if sufficient margins in respect of his trading, across the Stock Exchange(s) and across the segments of the Stock Exchange(s) are available with RCSPL. The Client also agrees that RCSPL may retain and/or sell securities or adjust funds to the extent of debit balance in the account of the Client in any of the segments of any Stock Exchange(s) and release the balance securities / funds remaining after such retention / sale / adjustment.

7. Acting as a Sub-broker/Authorised person: The Client agrees that he shall not act as a sub-broker /authorised person without prior written permission of RCSPL, the Stock Exchange and without obtaining certificate of Registration from Securities and Exchange Board of India (SEBI).

8. Orders at Unrealistic Prices / Illiquid scrips: The client hereby confirms that it will not place or cause to be

placed with RCSPL, orders in scrip at prices substantially different from the prevailing price of the scrip at the time of placement of order. Any order placed by the client wherein the price is substantially different from the prevailing market / price of the scrip is liable to be rejected at the sole discretion of RCSPL. The client understands that RCSPL may in its sole discretion and without disclosing any reasons, restrict trading in certain scrip or derivatives a list of which will be displayed on the Back Office Website of RCSPL.

9. Statement of accounts on the back office website of RCSPL: The client agrees to download his account statement from RCSPL's back office web site www.rajchandra.com. Any change/additional website will be intimated to client in writing. Any discrepancy in the account statement in respect of any accounting entry in any calendar month shall be brought to the notice of RCSPL preferably within one week from the end of that month, failing which the account statement appearing in the books of RCSPL shall be deemed to be correct. In case such information is not available on the web site for a technical reason, the client may call RCSPL and get the account statement/information.

10. Disclaimer: The Client understands and agrees that neither RCSPL nor the supplier of the market data that is disseminated through the Website of RCSPL or in any other media by RCSPL guarantees their timeliness, sequence or periodicity of dissemination, accuracy, completeness, reliability or content. RCSPL provides the market data/information on an "as available" basis and does not give any warranties of any kind, either expresses or implied, including, without limitation, those of their merchantability and fitness for a particular purpose. It is expressly provided that neither RCSPL nor any other party disseminating any market data, message or information through the website of RCSPL or in any other media shall be liable for:

(a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or

(b) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in making, available any such data, information or message, due to either any act or omission by RCSPL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute / unrest, accident, action of government, communications or power failure,

equipment or software malfunction) or any other cause beyond the reasonable control of RCSPL or any disseminating party.

11. Legal, Tax, Accounting or Investment advice: The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. The Client also acknowledges that the Member's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Member or any of its employees.

12. Use of data / information on the Website: The Client understands that each participating Exchange, association, agency and RCSPL asserts proprietary interests in the market data, research work and other materials displayed on the website of RCSPL and that the Client is authorized to use the said website materials are for the client's own needs and uses only in accordance with the terms and conditions specified for such usage. Client is not authorized to, and shall not, sell or provide access to or make copies of any such materials or permit their use by any other persons in any manner. Client will not delete copyright or other intellectual property rights notices from printouts of electronically accessed materials.

13. Authorized Representatives (subject to applicable guidelines of SEBI/Exchange):

a) The Client may authorize any other person to be his authorized representative to trade and transact in securities in his account for and on behalf of the Client, by executing and producing to RCSPL a Power of Attorney or by signing and delivering a letter of authority in favour of the person to be so authorized in the prescribed format. Where authority is given to the representative by means of a letter, it shall also be witnessed by two independent witnesses.

b) Orders for carrying out trades and other incidental instructions given by the Authorized Representative telephonically or by any other approved means whether express or implied shall be acceptable by the Client. The Client shall be liable for and bound by all transactions undertaken by RCSPL pursuant to orders and instructions of the Authorized Representatives.

c) Any replacement of authorized representative shall be made by revoking the POA/letter of authority executed in favour of the authorized representative and executing a new POA or letter of authority in the manner above granting powers to the new Authorized representative and by no other means. If the Client executes a POA or a

letter of authority in favour of a person without revoking the POA or letter of authority earlier executed in favour of another person, RCSPL may regard all such persons as authorized representatives of the Client and the transactions carried out on the orders and instructions given by all such authorized representatives shall be valid and acceptable by the Client.

14. Manner and Mode of placing orders / instructions:

The Client should communicate orders and other instructions to RCSPL or the sub-broker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through email, or by personally visiting the designated office. Client may use any one or more these means for placing orders.

15. Non-execution / delay / cancellation of Orders:

The client hereby agrees that RCSPL or the Exchanges shall not be liable for non-execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication networks, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of RCSPL or the Exchange. RCSPL does not guarantee cancellation or modification of any order requested by the Client. The order may be cancelled / modified only if the Client's request for cancellation / modification is received on time, i.e., during the pendency of the original order intended to be cancelled / modified and the original order is successfully cancelled/modified before it is executed.

16. Client not to act on representations of agents, employees:

Client is aware that RCSPL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of RCSPL. Client understands that it is required to familiarize itself with the various risks inherent in the securities market which are set out in detail in the Risk Disclosure Document and to carry out transactions on the Exchange in accordance with the Bye-Laws, Rules and Regulations of SEBI and the concerned Stock Exchange and the terms and conditions set out in the KYC documents. Client also understands that its relation with RCSPL as Stock Broker / Trading Member is governed entirely by the express terms contained in the KYC documents and the Bye-Laws, Rules and Regulations of SEBI and concerned Stock Exchange and that RCSPL has

not authorized any persons to hold out any promise, representation, assurance, undertaking, commitment etc. as to return or profit on investment and that RCSPL excludes all and any liability for loss accruing to the Client by reason of the Client acting in reliance of such promise or representation etc.

17. Recording of Conversation:

The client is aware and agrees that RCSPL may tape record the conversation between the clients/client's representative (subject to applicable guidelines of SEBI/Exchange) and RCSPL, whether over the telephone or in person. RCSPL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.

18. Confidentiality of Client Details:

Details and information relating to the Client including trade related information shall be kept confidential and shall not be disclosed to any person/authority except as required under authority of Law. However, where requisition for such details and information is received under authority of Law, RCSPL may part with such details and information Client without prior reference or intimation to the Client. The Client, however, understands and agrees that RCSPL may share details of the Client with its branches/sub broker/franchisee.

19. Client to furnish additional information:

Client agrees and undertakes to furnish to RCSPL such additional information as may be necessary under the Rules, Regulations and Byelaws of the Exchanges, SEBI as may be in force from time to time or as may be required by any judicial, statutory, investigating, local or other authority, immediately on RCSPL making a request on the Client.

20. Pay-in of Funds & Securities:

RCSPL will receive and pay funds / securities only from/to the Bank A/c and the Demat a/c given by the Client in the Client registration form or from/to the A/c's subsequently in writing notified by the Client and accepted by RCSPL. RCSPL reserves the right not to accept funds/securities from Banks/Demat accounts other than that registered with RCSPL and Client understands and agrees that RCSPL shall not be liable for any loss that may be occasioned due to RCSPL declining to accept funds/securities from unregistered accounts.

21. Client to Retain Copy:

A copy of all the documents comprising KYC shall be provided to the Client at the time of execution of this document under acknowledgment to be

signed by the Client. Additional copy of the documents shall be provided to the Client on written request on payment of reasonable cost.

22. Disclosure as to Proprietary Trades by RCSPL: RCSPL may carry out proprietary trades in addition to trades on behalf of its Clients.

23. Client's declaration : Client declares that : (a) It is conversant with relevant laws, trade practices, rules, regulations, guidelines, circulars etc. prescribed by SEBI, the Stock Exchanges and other competent authorities in relation to trading and transactions in the Securities Market and matters incidental or ancillary thereto and undertakes to acquaint itself with any modifications/changes brought about therein from time to time.

(b) It shall not give any third party shares or cheques in discharge of its settlement obligations.

© It will not indulge in any manipulative, fraudulent and/or unfair trade practices including but not limited to trades such as synchronized deals, structured deals, circular trading in the capital market and futures and option segments.

24. In the event Client is found to have indulged in any manipulative, fraudulent and/or unfair trade practice or to have committed a breach of the applicable laws, regulations, guidelines, Bye-laws, by acts or omissions, whether directly or indirectly, Client shall be held solely liable for the legal and financial consequences thereof which may include penalties, restrictions or prohibitions or such other actions by appropriate authority.

25. Severance: In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforce ability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.

26. No Waiver: No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.

27. Notices: All notices or communications issued by RCSPL shall be served on the Client in any one or more or

all of the following ways at the ordinary business address and / or ordinary place of residence and/or last known address of the client:

- i) By ordinary post,
- ii) By registered post,
- iii) By express delivery post,
- iv) By affixing it on the door at the last known business or residential address,
- v) By oral communication to the party or on the last known telephone number or on the recording machine of such number,
- vi) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated,
- vii) By publishing it in the Client's log-in page on the back office website of RCSPL,
- viii) By a notice posted on the notice board of the Exchange if no address be known,
- ix) By electronic mail or fax,
- x) By hand delivery.

27.1 Notwithstanding anything stated above, communication relating to orders, margin calls, maintenance calls and other similar matters in the ordinary course of dealings between RCSPL and the Client may be made orally.

27.2 Deemed Service: Any communication sent by RCSPL to the Client shall be deemed to have been delivered or served, even if such communication is returned to RCSPL as unclaimed/refused/ undelivered, if the same is sent to the ordinary business address and/or ordinary place of residence and/or last known address of the party, in any one or more of the ways mentioned above.

28. Electronic Contract Note (ECN): The Client understands that it can have Contract Notes for the trades executed delivered by RCSPL in Electronic / Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing RCSPL in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent. For availing of this service, the Client shall sign and issue a mandate in the prescribed form authorizing RCSPL to issue Contract Notes in digital form. Client understands and agrees that delivery of Contract Notes in digital form

shall be subject to the following terms:

(i) The Client shall access and verify the ECN and all information contained therein shall be acceptable, if the Client does not raise any objections as to the accuracy of its contents or notify any discrepancy therein, either in writing or via E-mail, preferably within 24 hours the ECN is received. The Client will be required to save/print/download the ECN for archiving and delete the e-mails from his e-mail account on a regular basis so as to keep sufficient space in the e-mail account to continue receiving ECN from RCSPL. The ECN shall be deemed to have been delivered to the Client, if RCSPL does not receive a rejection or bounced mail notification.

(ii) RCSPL shall also publish the Contract Note on the Web site www.rajchandra.com. Any change in website shall be intimated in writing. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. The Client shall take all necessary steps to ensure confidentiality and secrecy of the login name & password. The specific clauses hereinafter contained governing user name and password for facilitating net banking services through the Electronic Payment Gateway shall mutatis mutandis apply to the use of Login Name and Password allotted to the Client for accessing ECN on the Website of RCSPL.

(iii) Should the Client experience any difficulty in opening the ECN, RCSPL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy).

29. Electronic Transmission of other Documents: The Client agrees that RCSPL may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls and other notices/ communications in electronic mode either at the e-mail ID designated for delivery of ECN. Discrepancies, if any, in the ECN should be brought to the notice of RCSPL preferably within 24 hours of issuance of the ECN failing which the Contract Note shall be deemed to be true and correct record of the transactions stated therein.

30. Electronic Payment Gateway for Net Banking Services: RCSPL may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account

to the account of the Client with RCSPL. Client understands that RCSPL is only providing access to the electronic fund transfer facility provided by the banker of the Client through RCSPL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make RCSPL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that RCSPL's liability shall at all time be limited to the amount actually received in its account by" electronic transfer from Client's account with the Bank.

31. Internet / Wireless Technology based Trading facility: RCSPL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges (hereinafter referred to as "the Internet/wireless trading system") through Exchange approved software. The Client can route its orders to RCSPL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by RCSPL by complying with the formalities prescribed therefor.

31.1 User Name and Password : On opting to avail Internet/Wireless Trading facility, the Client shall be provided a username and password transmitted to it over email at the designated email ID which will enable it secured access to RCSPL's the Trading facility.

31.2 The Client is aware that the initial Password is System generated and agrees and undertakes to immediately change it upon receipt. The Client understands that the initial and subsequent passwords are not known or available to RCSPL.

31.3 The Client agrees and undertakes:

(I) To download the software required for Internet / Wireless Technology based Trading facility on to the Computer or Mobile as the case may be from RCSPL's Website using the specified URL.

(ii) To use compatible computer hardware / mobile and system software and/or upgrade them to compatible versions for Internet / Wireless Technology based Trading facility software to function satisfactorily.

(iii) To commit the password to memory and not to record it in any written or electronic form;

(iv) Not to let any unauthorized person gain access to the computers or leave the computer unattended while remaining logged on to the internet / wireless trading system and to log off from the Internet / Wireless Trading System as and when the trading session ends.

(v) To change the password at frequent intervals

(vi) To notify RCSPL if it receives inaccurate information regarding the account balances, investment products position or transaction history, or notices such other discrepancies in the account that might be attributable to unauthorized access.

31.4 Client to change Password: If the Client is unable to change the Password by reason of the Client having forgotten the Password or there has been any unauthorized change in the Password by some other person or for any other reason, then the Client shall immediately request RCSPL in writing to discontinue old Password, and thereupon, RCSPL shall deactivate the old Password and communicate to the Client a new system generated Password.

31.5 Clients opting for Internet/Wireless Trading Facility to compulsorily opt ECN: If the Client elect to transact using Internet / Wireless facility, it shall compulsorily opt for receiving contract notes electronically (ECN) and comply with the formalities required for ECN and also notify its mobile number to RCSPL. If unable to open any of the documents, It shall inform RCSPL and follow advice given by RCSPL to resolve the problem.

31.6. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as notified to the client in writing by RCSPL from time to time, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the .concerned branch of RCSPL.

31.7 The client understands and agrees that RCSPL has different product versions of the Internet Trading / Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product version that it may choose while signing these documents. The client also understands and agrees that depending on the trading activity of the client, RCSPL shall have the exclusive right and liberty to change the product version

allotted to the client and allots a different product version of the Internet Trading/Wireless Trading facility.

31.8 Orders of Client subject to review by-RCSPL: The Client agrees that the RCSPL may, at its sole discretion, subject any order placed by a Client through the internet/wireless trading system to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.

31.9 Copy Right/Internet/Trading/Wireless

Technology: The Client "agrees that the software underlying the Internet Trading/Wireless Technology System which is required for accessing the Internet Trading/Wireless Technology facility are the legal property of RCSPL and the Client shall not attempt to modify, translate, disassemble, decompile or reverse engineer the software underlying the service. The permission given by RCSPL to the Client to use the Internet Trading/Wireless Technology System shall not convey any proprietary/ ownership rights in the above software to the Client.

32. Data Security and maintenance of equipments: The use and storage of any information including, without limitation, the passwords or digital signatures, portfolio information, transaction details, account balances and any other transaction details or trade information as the case may be on the Client's personal computer is at the Client's own risk and is the Client's sole responsibility. Client is also responsible for maintenance and upkeep of the personal computer, modem, communication equipment and telephone or other services required for accessing and using the internet trading facility of RCSPL and for all communications service fees and charges incurred by the Client in that connection.

33. Extra Ordinary Events and termination / suspension of trading facility: RCSPL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond RCSPL's control, resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any RCSPL may at any time terminate, discontinue or temporarily suspend trading provided, to the Client in the event of any such extraordinary occurring without giving prior notice to the Client.

34. Remit Funds payout electronically into client's bank account: Notwithstanding anything contained in these documents and without prejudice to the rights and obligations of the parties interse, the Client, hereby agrees and authorizes RCSPL to transfer funds due for payment to the Client through Net Banking / EFT / RTGS / NEFT for the credit of designated bank account(s) of the Client details of which are given by it to RCSPL Client shall also give RCSPL a cancelled cheque leaf of the designated Bank account for this purpose. Client agrees that it shall not

hold RCSPL liable if any fund is credited to wrong account(s) as a result of Client providing incorrect account details to RCSPL. RCSPL reserves the right to reject request of the Client for electronic fund transfer or to discontinue the facility without assigning any reason. The client also understands and agrees that RCSPL shall not be responsible for any delay / failure in transmission of electronic payout of funds due to any reason beyond its control and undertakes to not hold RCSPL liable in this regard.

For Rajchandra Capital Services Pvt. Ltd.

Authorised Signatory

 (9) Client Signature : _____

Date : _____

RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)

Voluntary

To,

Date : _____

RAJCHANDRA CAPITAL SERVICES PRIVATE LIMITED

Bilquees Mansion 2nd Floor, North Side,
261/263, D. N. Road, Fort, Mumbai 400 001.

Dear Sir,

Ref.: Authorization to maintain running accounts for transactions for my/our client code

I / We hereby authorize you to maintain running account(s) for my/our transactions executed through Rajchandra Capital Services Pvt. Ltd. on any of the stock exchanges/segment for funds with you. I/ We also request you to consider the balances in my/our running fund account with you for the purpose of margins/ any other lawful obligations due to you. The funds due to me/us should be released on our specific request.

I / We request you to settle my/our account on a Monthly Quarterly basis.
(Strike out whichever is not applicable).

The authorization may be revoked by me/us at any time, subject to me/us giving Rajchandra Capital Services Pvt. Ltd. Prior written intimation of my/our intention to revoke the same.

I/We understand that this running account authorization shall be signed by myself only and not the POA holder.
Yours faithfully,

 (10) Signature of the Client : _____ Name of the Client : _____

Client Code : _____

ECN AUTHORISATION

Voluntary

Date: / /

To,

Rajchandra Capital Services Pvt. Ltd.
Bilquees Mansion 2nd Floor, North Side, 261/263, D. N. Road, Fort, Mumbai 400 001.

Dear Sir,

Mandate to issue contracts in digital format and ledger account.

I/We hereby authorize you to send contract notes/bills, statement of accounts/ledgers and other digitally signed communications (digital documents) on any of my Email Id given below.

Email ID _____

Alternative Email ID _____

I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes. My non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note any time. This instruction to issue digital contract note is applicable with immediate effect. I/We have noted that non-receipt of bounced mail notification by you shall amount to valid delivery of the digital documents.

If there is any change in my/our email ID, the same shall be intimated to you in writing through physical letter or such other approved mode of communication as acceptable to you.

Thanking you
Yours faithfully

 (11) Signature of the Client _____ Name of the Client _____ Client Code _____

These additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document. Any such clause introduced shall stand null and void if they dilute the responsibility of the stock broker or is in conflict with any of the clauses in the mandatory documents, Rules, Bye-laws, Regulations, Notices, Guidelines and Circulars issued by SEBI and the stock exchanges from time to time.

To,

Rajchandra Capital Services Pvt. Ltd.

Register Office : Bilquees Mansion, 2nd Floor,

North Side, 261/263, D.N. Road, Fort, Mumbai 400 001.

Ph : +91 22 22630748, 22620625 Fax No.+91 22 222626087

Sir(s),

Re: Letter for operations of account

For the smooth operations of my/our broking account, kindly note my/our following instructions:

- You are requested to kindly accept my/our verbal instructions to place, modify and cancel the orders and other dealings in our broking account
- In the course of business, I/we may deal in various segments (cash, derivatives, currency, interest rate futures, mutual funds, securities lending borrowing, margin trading, etc) of various exchanges (BSE, NSE, MSEI, USE) that you are members of or any other Exchange/segment membership that you may take in the future. I/We understand that you are required to keep separate ledgers/ accounts for the separate segments and separate Exchanges. There will be many occasions when I/we shall be in credit in one segment/exchange and not in the other. In such cases, kindly do not refuse my orders placed in the segment/ exchange where I/we do not have sufficient credits and please utilize the credits lying in others segments/ exchanges account maintained with yourselves by passing journal entry, bank entry or any other approved manner or fashion you may deem fit as per applicable laws , rules & regulation. I/we request you to kindly do not insist for specific instructions for the same from me/us and the same is not practical for me/us. I/We confirm that entries so made shall be acceptable by me/us in all circumstances
- The credits lying in my securities trading accounts with yourself may kindly be utilized against the dues for bills raised for my/our demat accounts maintained with yourselves
- I/We confirm and undertake that I/we will not deal as a sub-broker/ remisier/ authorized person unless with your prior approval. Under no circumstance will I/ we issue bills/ contracts/ confirmation notes to anyone else for trades done through you for which you have issued contracts in my/our name and thus deal as an unregistered intermediary. The trades done by me/ us under our code are for our own account and no other entity.
- My/Our funds/securities lying with you whether for margins or any other purpose may be used by you at your discretion for placing with Exchanges/ Clearing Houses and Clearing Corporations for the purpose of availing facilities for my/our trades/ positions in a manner as permitted by the Exchanges/ SEBI. The above authorization is for my/own trades/ positions and not for any other client.

The following is the list of authorized signatories (subject to applicable guidelines of SEBI /Exchanges), their authority including but restricted to:

- placing/ modifying/ cancelling orders on our behalf, etc.
- acknowledging contract notes/ other communication issued by you to me/us, etc.
- communicating changes in our KYC details, etc.
- confirmation of account, etc.

| Name of the signatory | Signature | Relation, if any |
|-----------------------|-----------|------------------|
| | | |
| | | |
| | | |

- I/We am/are aware of and have noted your corporate policy of discouraging physical correspondence in all forms and encouraging digitally communication via email/ website, etc. I/We further confirm that we are comfortable with email/ electronic communication. I/We hereby consent for receiving digitally signed communication including but not restricted to statement of funds and securities, margin statements, etc. via email on our email ID per your records as provided under the IT Act, 2000
- I am / We are aware of the fact that M/s. Rajchandra Capital Services Pvt. Ltd. is carrying on business for and on behalf of the client as well as on Proprietary Basis.

 (12) (Client Signature)

Place:

Date:

Note: The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney

To,

Rajchandra Capital Services Pvt. Ltd.

Bilquees Mansion 2nd Floor,

North Side, 261/263, D. N. Road,

Fort, Mumbai 400 001.

Re: : SEBI circular MIRSD/SE/Cir-19/2009 dated Dec 3, 2009 & Acknowledgment Receipt

We confirm:

1. Receipt of copy of all the mandatory and voluntary client registration documents executed by me/us with you.
2. Receipt of "Document dealing with policies and procedures".
3. Noting of your website www.rajchandra.com for all communications that you as stock broker give to your clients including policies as updated from time to time.
4. Receipt of our login ID and password of your website www.rajchandra.com giving us our accounts position, trade position, daily margin details, etc.
5. Receipt of literature for PMLA requirements
6. Copy of Investor's Rights & Obligation Document, Risk Disclosure Document, Guidance Notes and Various Policies.
7. Copy of RCSPL Risk Management Policy.
8. We do understand that M/s. Rajchandra Capital Services Pvt. Ltd. is carrying on business for and on behalf of the client as well as on Proprietary Basis.

 (13) Signature of Client :

Name of Client :

Client Code :

Place :

Date :

CDSL SECTION



Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public/ Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence/queries shall be addressed to the first/sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable

Dos

Dos and Don'ts : CDSL

- Register for CDSL's internet based facility 'easi' to monitor your demat account yourself. Contact your DP for details.
- Register for CDSL's SMS Alert facility - SMART and obtain alerts for any debits or credits due to a corporate action, in your demat account.
- Accept the DIS book from your DP only if each slip has been pre-printed with a serial number along with your demat account number and keep it in safe custody.
- Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker.
- Ensure that all demat account holder(s) sign on the DIS.
- Please strike out the any blank space on the slip.
- Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s).
- Submit the DIS ahead of the delivery date for all type of market transactions. DIS can be issued with a future execution date.
- Intimate any change of address or change in bank account details to your DP immediately.
- Check the demat performance of the issuer company with your DP before deciding to send certificates for demat. The list of companies whose demat request are pending is published at www.cdslindia.com
- Before sending securities for demat, record the distinctive numbers of the securities sent.
- Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope & implications of powers being granted.
- The demat account has a nomination facility and it is advisable to appoint a nominee, in case of sole account holders.
- Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions and once a quarter if there have been no transactions in your account.
- Check your demat account statement on receipt. In case you notice any unauthorized debits or credits, contact your DP for clarification. If not resolve, you may contact CDSL's Investor Relations Officers, Mr. Suhas Kulkarni, Central Depository Services (India) Ltd., 17th Floor, P. J. Towers, Dalai Street, Mumbai-400 001, Tel. 2272 3333, email: investorstgcdslindia.com.

Don'ts

- Do not leave your instruction slip book with anyone else.
 - Do not sign blank DIS as it is equivalent to a bearer Cheque.
 - Avoid over-writing, cancellations, misspellings, changing of the name and quantity of securities.
- We request you to meticulously follow the above instructions, to avoid any problems in operation of your

B. O. Signature



First / Sole Holder



Second Joint Holder



Third Joint Holder

Application No. CDS-

| | |
|-----------------|--|
| DP Int Ref. No. | |
|-----------------|--|

| | | | |
|------|--|--|--|
| Date | | | |
|------|--|--|--|

| | | | | | | | | | | | | | | | | | | | |
|-------------|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|--|
| Account No. | 1 | 2 | 0 | 3 | 5 | 3 | 0 | 0 | | | | | | | | | | | |
|-------------|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|--|

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

I/We Request you to open an Account in my/our name as per the following details :-

Sole / First Holders Details

| | | | | | | | | | | | | | | | | | |
|---|--|--|--|--|---------|--|--|--|------------|--|-------|--------|--|--|--|--|--|
| First Name | | | | | | | | | | | | | | | | | |
| Middle Name | | | | | | | | | | | | | | | | | |
| Last Name | | | | | | | | | | | | | | | | | |
| Father / Husband Name | | | | | | | | | | | | | | | | | |
| Title | <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other | | | | | | | | | | | Suffix | | | | | |
| Correspondence Address | | | | | | | | | | | | | | | | | |
| City | | | | | | | | | | | State | | | | | | |
| Country | | | | | | | | | | | PIN | | | | | | |
| Telephone No. | | | | | Fax No. | | | | Mobile No. | | | | | | | | |
| Pan | | | | | | | | | | | | | | | | | |
| E-mail ID | | | | | | | | | | | | | | | | | |
| Permanent Address (If difference from Correspondence Address) | | | | | | | | | | | | | | | | | |
| City | | | | | | | | | | | State | | | | | | |
| Country | | | | | | | | | | | PIN | | | | | | |
| Telephone No. | | | | | Fax No. | | | | Mobile No. | | | | | | | | |
| E-mail ID | | | | | | | | | | | | | | | | | |

Joint Holders-Second Holder's Details

| | | | | | | | | | | | | | | | | | |
|--------------------------|--|--|--|--|---------|--|--|--|------------|--|-------|--------|--|--|--|--|--|
| First Name | | | | | | | | | | | | | | | | | |
| Middle Name | | | | | | | | | | | | | | | | | |
| Last Name | | | | | | | | | | | | | | | | | |
| Father / Husband Name | | | | | | | | | | | | | | | | | |
| Title | <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other | | | | | | | | | | | Suffix | | | | | |
| Permanent Address | | | | | | | | | | | | | | | | | |
| City | | | | | | | | | | | State | | | | | | |
| Country | | | | | | | | | | | PIN | | | | | | |
| Telephone No. | | | | | Fax No. | | | | Mobile No. | | | | | | | | |
| Pan | | | | | | | | | | | | | | | | | |
| E-mail ID | | | | | | | | | | | | | | | | | |

Joint Holders-Third Holder's Details

| | | | | | | | | | | | | | | | | | |
|--------------------------|--|--|--|--|--|--|--|--|--|--|-------|--------|--|--|--|--|--|
| First Name | | | | | | | | | | | | | | | | | |
| Middle Name | | | | | | | | | | | | | | | | | |
| Last Name | | | | | | | | | | | | | | | | | |
| Father / Husband Name | | | | | | | | | | | | | | | | | |
| Title | <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other | | | | | | | | | | | Suffix | | | | | |
| Permanent Address | | | | | | | | | | | | | | | | | |
| City | | | | | | | | | | | State | | | | | | |

| | | | | | | | | |
|---------------|--|---------|--|------------|--|--|--|--|
| County | | PIN | | | | | | |
| Telephone No. | | Fax No. | | Mobile No. | | | | |
| PAN | | | | | | | | |
| E-mail | | | | | | | | |

Type of Account (Please tick whichever is applicable)

Do you wish to receive dividend / interest directly in to your bank account given below through ECS? Yes

| | First/Sole Holder | Second Joint Holder | Third Joint Holder |
|--------------------------|-------------------------------------|-------------------------------------|-------------------------------------|
| Name | | | |
| Signatures | | | |
| Passport size Photograph | (Please sign across the Photograph) | (Please sign across the Photograph) | (Please sign across the Photograph) |

(Signatures should be preferably in black ink)

In Case of Minor Holder, Photograph of Guardian has to be Affixed along with minor's photograph

| | |
|--------------|-------|
| Name* | _____ |
|--------------|-------|

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

Additional Details

| | | | |
|---------------------------|------------------------------|--|-----------------------------|
| SMS Alert Facility | <input type="checkbox"/> Yes | Mobile : No. : +91..... Refer to Terms & Condition given as Annexure - 2.4 | <input type="checkbox"/> No |
| <i>easi</i> | <input type="checkbox"/> Yes | If yes, please contact your DP for details [Facility through CDSL website : www.cdslindia.com wherein a BO can view his ISIN balances, transaction and value of the portfolio online] | <input type="checkbox"/> No |

Details for First Holder

| | | | | | | | | |
|--|--|---|--|--|--|--|--|-----------------------|
| Date of Birth | | | | | | | | (Format DD MM YYYY) |
| Nationality | <input type="checkbox"/> Indian | <input type="checkbox"/> Other (specify | | | | | | |
| Sex | <input type="checkbox"/> Male | <input type="checkbox"/> Female | | | | | | |
| Occupation | Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> StatutoryBody } <input type="checkbox"/> State Govt. <input type="checkbox"/> Public/Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Professional <input type="checkbox"/> Retired <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other (Specify)..... | | | | | | | |
| Nature of business : (Products / services Provided) | | | | | | | | |
| Financial Details | Income Range per annum: <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 2,00,001 to Rs. 5,00,000 <input type="checkbox"/> Rs. 1,00,001 to 2,00,000 <input type="checkbox"/> More than Rs.5,00,000 | | | | | | | |

Additional KYC Form for Opening a Demat Account

Annexure 2.1

For Individuals

Rajchandra Capital Services Pvt. Ltd.

Regd. Off.: Bilquees Mansion, 2nd Flr., North Side, 261/263, D.N. Road, Fort, Mumbai - 400 001. DP SEBI Regn No. IN DP-CDSL-252-2004 DP ID : 12035300

(To be filled by the Depository Participant)

| | | | | | | | | | |
|---------------------------|-----------|---|---|---|---|---|---|---|---|
| Application No. | Date | D | D | M | M | 2 | 0 | 1 | Y |
| DP Internal Reference No. | | | | | | | | | |
| DP ID | | | | | | | | | |
| | Client ID | | | | | | | | |

(To be filled by the applicant in **BLOCK LETTERS** in English) I/We request you to open demat account in my/our name as per following details:-

Holder's Details

| | | | | | | | | | | | | | | |
|----------------------------|--------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Sole / First Holder's Name | PAN | | | | | | | | | | | | | |
| | UID | | | | | | | | | | | | | |
| | UCC | | | | | | | | | | | | | |
| | Exchange Name & ID | | | | | | | | | | | | | |
| Second Holder's Name | PAN | | | | | | | | | | | | | |
| | UID | | | | | | | | | | | | | |
| Third Holder's Name | PAN | | | | | | | | | | | | | |
| | UID | | | | | | | | | | | | | |

Name*

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

Type of Account (Please tick whichever is applicable)

| Status | Sub - Status |
|---|---|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____ |
| <input type="checkbox"/> NRI | <input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI - Depository Receipts <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> Others (specify) _____ |
| <input type="checkbox"/> Foreign National | <input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____ |

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

| | |
|---------------------------------|-----|
| Guardian's Name | PAN |
| Relationship with the applicant | |

| | |
|--|---|
| I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes') | [Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Account Statement Requirement | <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the e mail ID ----- | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I/ We would like to share the email ID with the RTA | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to receive the Annual Report | <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical) |
| Do you wish to receive dividend / interest directly in to your bank account given below through ECS ? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time] | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Bank Details [Dividend Bank Details]

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

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

For Individual

| Other Details | Income Range per annum: | | | | | | | | |
|---|---|--|--|--|--|--|--|--|-----|
| Gross Annual Income Details | <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000 | | | | | | | | |
| | Net Worth as on (Date) | | | | | | | | Rs. |
| | <i>[Net worth should not be older than 1 year]</i> | | | | | | | | |
| Occupation | <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other (Specify) _____ | | | | | | | | |
| Please tick, if applicable : | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to politically Exposed person (RPEP) | | | | | | | | |
| Any other information : | | | | | | | | | |
| SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4 | MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option). | | | | | | | | |
| <i>Easi</i> | To register for easi, please visit our website www.cdsindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online. | | | | | | | | |

Nomination Details

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

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

(Strike out what is not applicable.)(Signatures of all account holders should be obtained on this form)

I/We nominate the following person/s 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 or the death of all the Joint Holders.

Date .

DP ID

Client ID

Name of the Sole / First Holder

Name of Second Holder

Name of Third Holder

| | Nomination Details | Nominee 1 | Nominee 2 | Nominee 3 |
|----|--|----------------------|----------------------|----------------------|
| 1. | Nominee Name *First Name | | | |
| | Nominee Name Middle Name | | | |
| | Nominee Name *Last Name | | | |
| 2. | *Address of Nominee(s) *City *State *Pin Code *Country | | | |
| | Telephone No. (with STD Code) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| | Fax No. | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| | Mobile No. | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| | PAN No. | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| | UID | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| | Email Address | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 3. | *Relationship with the BO: | | | |
| 4. | Date of Birth (Mandatory if Nominee is a minor) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 5. | Name of the Guardian of Nominee (if nominee is a minor) *First Name | | | |
| | Name of the Guardian of Nominee (if nominee is a minor) Middle Name | | | |
| | Name of the Guardian of Nominee (if nominee is a minor) *Last Name | | | |

| | | | |
|---|--------------------------|--------------------------|--------------------------|
| *Address of the guardian of nominee: | | | |
| *City | | | |
| *State | | | |
| *Country | | | |
| *PIN | | | |
| Age | | | |
| Telephone | | | |
| Fax No. | | | |
| Email ID | | | |
| *Relationship of the Guardian with the Nominee | | | |
| *Percentage of allocation of securities | | | |
| *Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

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

*** Marketed is Mandatory filed**

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

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

| | |
|------------------------|----------------------|
| Details of the Witness | |
| | First Witness |
| Name of witness | |
| Address of witness | |
| Signature of witness | |

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

| | First/Sole Holder or Guardian (in case of Minor) | Second Holder | Third Holder |
|------------|--|---------------|--------------|
| Name | | | |
| Signatures | | | |

(Signatures should be preferably in blue ink).

----- (Please Tear Here) -----

Acknowledgement Receipt

Application No.:

Date:

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

| | |
|---------------------------------|--|
| Name of the Sole / First Holder | |
| Name of Second Holder | |
| Name of Third Holder | |

Depository Participant Seal and Signature

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Additional KYC Form for Opening a Demat Account

Annexure 2.2

For Non-individuals

Rajchandra Capital Services Pvt. Ltd.Regd. Off.: Bilquees Mansion, 2nd Floor, North Side, 261/263, D. N. Road, Fort, Mumbai - 400 001. DP SEBI Regn No. IN DP - CDSL - 252-2004 DP ID : 12035300

(To be filled by the Depository Participant)

| | | | | | | | | | | |
|---------------------------|---|------|---|---|---|---|---|---|-----------|---|
| Application No. | | Date | D | D | M | M | 2 | 0 | 1 | Y |
| DP Internal Reference No. | | | | | | | | | | |
| DP ID | 1 | 2 | 0 | 3 | 5 | 3 | 0 | 0 | Client ID | |

(To be filled by the applicant in **BLOCK LETTERS** in English) I/We request you to open a demat account in my/ our name as per following details :-

Holders Details

| | | | | | | | | | | |
|--------------------------|-----|--|--|--|--|--|--|--|--|--|
| Sole/First Holder's Name | | | | | | | | | | |
| Search Name | PAN | | | | | | | | | |
| | UID | | | | | | | | | |
| Second Holder's Name | PAN | | | | | | | | | |
| | UID | | | | | | | | | |
| Third Holder's Name | PAN | | | | | | | | | |
| | UID | | | | | | | | | |

Name *

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

Type of Account (Please tick whichever is applicable)

| Status | | | | | | | Sub - Status | | | |
|---|---|---|--|------------------------------|------------------------------|------------------------|--------------|---|---|---|
| <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Banks | <input type="checkbox"/> Trust | <input type="checkbox"/> Mutual Fund | <input type="checkbox"/> OCB | <input type="checkbox"/> FII | To be filled by the DP | | | | |
| <input type="checkbox"/> CM | <input type="checkbox"/> FI | <input type="checkbox"/> Clearing House | <input type="checkbox"/> Other (Specify) | | | | | | | |
| SEBI Registration No. (If Applicable) | SEBI Registration Date | | | D | D | M | M | Y | Y | Y |
| RBI Registration No. (If Applicable) | RBI Approval Date | | | D | D | M | M | Y | Y | Y |
| Nationality | <input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____ | | | | | | | | | |

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

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

Account Statement Requirement As per SEBI Regulation Daily Weekly Fortnightly Monthly

I / We request you to send Electronic Transaction-cum-Holding Statement at the e mail ID _____ Yes No

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

I / We would like to receive the Annual Report Physical / Electronic / Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)

Clearing Member Details (To be filled by CMs only)

| | | | |
|--|--|--|--|
| Name of Stock Exchange | | | |
| Name of CC / CH | | | |
| Clearing Member Id | | Trading member ID | |
| Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (if not marked , the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time] | | <input type="checkbox"/> Yes <input type="checkbox"/> No | |

Bank Details [Dividend Bank Details]

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

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

| | | | | | | | | | |
|---|---|--|--|--|--|--|--|--|-----|
| Other Details | Income Range per annum: | | | | | | | | |
| Gross Annual Income Details | <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000 | | | | | | | | |
| | Net Worth as on (Date) | | | | | | | | Rs. |
| | <i>[Net worth should not be older than 1 year]</i> | | | | | | | | |
| Please tick If any the authorized signatories / Promoters / Partner / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) . <input type="checkbox"/> Please provide details as per Annexure 2.2 A. | | | | | | | | | |
| Any other information : | | | | | | | | | |

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

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

| | Sole / First Authorised Signatory | Second Authorised Signatory | Third Authorised Signatory |
|-------------|--|---|---|
| Name | | | |
| Designation | | | |
| Signatures |  (17) |  |  |

(In Case of more Authorised Signatories Please Add Annexure).

(Please tear here)

Application No.: _____

Acknowledgement Receipt

Date: _____

We here by acknowledge the receipt of the Account Opening Application Form:

| | |
|--------------------------------|--|
| Name of the Sole/ First Holder | |
| Name of Second Holder | |
| Name of Third Holder | |

Seal and Signature of RCSPL

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

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

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

Availability:

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

Receiving Alerts:

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

Fees:

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

Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [For-non-individual]

Name of holder _____ PAN of the holder _____

| Sr.No | Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors | Relation with the holder (i.e. promoters, whole time directors etc | Please tick the relevant option. |
|-------|---|--|---|
| | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |
| | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |
| | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |
| | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |
| | | | <input type="checkbox"/> PEP <input type="checkbox"/> RPEP |

Name & Signature of the Authorised Signatories Date____/____/____**PEP:** Politically Exposed Person **RPEP:** Related to politically Exposed Person

OPTION FORM FOR ISSUE OF DIS BOOKLET

| | | | | | | | | |
|------|---|---|---|---|---|---|---|---|
| Date | D | D | M | M | Y | Y | Y | Y |
|------|---|---|---|---|---|---|---|---|

| | | | | | | | | | | | | | | | | | | |
|--------------------|--|--|--|--|--|--|--|--|--|-----------|--|--|--|--|--|--|--|--|
| DP ID | | | | | | | | | | Client ID | | | | | | | | |
| First Holder Name | | | | | | | | | | | | | | | | | | |
| Second Holder Name | | | | | | | | | | | | | | | | | | |
| Third Holder Name | | | | | | | | | | | | | | | | | | |

To,
Depository Participant Name
Address

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

| | First/Sole Holder | Second Joint Holder | Third Joint Holder |
|---|-------------------|---------------------|--------------------|
| Name | | | |
| Signatures  (19) | | | |

OR

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

| | First/Sole Holder | Second Joint Holder | Third Joint Holder |
|--|-------------------|---------------------|--------------------|
| Name | | | |
| Signatures  (20) | | | |

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

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

| | | | | | | | | | | | | | | | | | | |
|---------------------------------|--|--|--|--|--|--|--|--|--|-----------|--|--|--|--|--|--|--|--|
| DP ID | | | | | | | | | | Client ID | | | | | | | | |
| Name of the Sole / First Holder | | | | | | | | | | | | | | | | | | |
| Name of Second joint Holder | | | | | | | | | | | | | | | | | | |
| Name of Third joint Holder | | | | | | | | | | | | | | | | | | |

Seal and Signature of RCSPL

Additional information to be obtained along with the SARAL Account Opening Form for Resident Individuals

| | | | | | | | | |
|------|---|---|---|---|---|---|---|---|
| Date | D | D | M | M | Y | Y | Y | Y |
| | | | | | | | | |

To be filled by the Depository Participant)

| | | | | | | | | | | |
|---------------------------|--|-----------|---|---|---|---|---|---|---|---|
| Application No. | | Date | D | D | M | M | Y | Y | Y | Y |
| DP Internal Reference No. | | | | | | | | | | |
| DPID | | Client ID | | | | | | | | |

Holders Details

| | | | | | | | | | | | | | | | | | | | | |
|---------------------------|--|--------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Sole/ First Holder's Name | | UID | | | | | | | | | | | | | | | | | | |
| Second Holder's Name | | PAN | | | | | | | | | | | | | | | | | | |
| | | UCC | | | | | | | | | | | | | | | | | | |
| | | Exchange Name & ID | | | | | | | | | | | | | | | | | | |
| Third Holder's Name | | UID | | | | | | | | | | | | | | | | | | |
| | | PAN | | | | | | | | | | | | | | | | | | |
| | | UID | | | | | | | | | | | | | | | | | | |

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

| | |
|-------------------------------------|--|
| Status | SubStatus |
| <input type="checkbox"/> Individual | <input type="checkbox"/> Individual Resident |

| | |
|---|--|
| I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Account Statement Requirement | <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to share the email ID with the RTA | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to receive the Annual Report | <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical) |

| | |
|---|--|
| I / We wish to receive dividend / interest directly in to my bank account as given in SARAL AOF [ECS is mandatory for transactions notified by SEBI from time to time] be 'Yes' | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|---|--|

| | |
|---|---|
| Other Details Gross Annual Income Details | Income Range per annum: |
| | <input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000 |
| Net worth as on (Date) | D D M M Y Y Y Y Rs <i>[Net worth should not be older than 1 year]</i> |
| Occupation | <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____ |
| Please tick, if applicable: | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) |
| Any other information: | |

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

Nomination Details

| | |
|------------------------------------|--------------|
| | |
| Nomination Registration No. | Dated |

- I/We hereby confirm that I/We do not wish to appoint any nominee in my demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our demat account, which may also include documents issued by Court or others such competent authority, based on the value of assets held in the demat account.

| | First/Sole Holder or Guardian (in case of Minor) | Second Holder | Third Holder |
|------------|---|---------------|--------------|
| Name | | | |
| Signatures | | | |

Note:

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / / opt out nomination-

- I/We wish to make nomination and do hereby nominate the following person (s) who shall receive all the assets held in my/our account, in the event of my / our death.

MandatoryDetails

| NominationDetails | Nominee1 | Nominee2 | Nominee3 |
|---|-------------------------|-------------------------|-------------------------|
| NomineeName: *First Name: MiddleName: *LastName | | | |
| *Percentageofallocationof securities Equally [Ifnotequally,please specify percentage] Or <input type="checkbox"/> ShareofeachNominee | % | % | % |
| Anyoddlotafterdivisionshallbetransferredtothefirstnominee mentionedinthe form | | | |
| *Relationshipwiththe BO: | | | |
| *Date ofbirthandNameofGuardian tobeprovidedincaseofminornominee (s) | | | |
| Non-mandatorydetails | | | |
| *AddressofNominee(s) /Guardianincaseof Minor : | | | |
| *City/place: | | | |
| *State&Country: | | | |
| *PinCode: | | | |
| Mobileno/TelephoneNo.of the Nominee (s) Guardianin case of Minor : | | | |
| EmailIDofthe nominee (s)/Guardianincaeof minor: | | | |
| Nominee/Guardian I incase of minor) Identification Details – [Pleasetickanyoneof following and provide details ofsame] | | | |
| <input type="checkbox"/> Photograph& Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> SavingBankaccount no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> DematAccountID | | | |

| | | | |
|--|--|--|--|
| | | | |
|--|--|--|--|

***MarkedisMandatoryfield Note**

Signatureofwitness,alongwithnameandaddressarerequired,iftheaccountholderaffixesthumbimpression,insteadof signature .

| DetailsoftheWitness | |
|---------------------|--|
| WitnessDetails | |
| Nameof witness | |
| Addressofwitness | |
| Signatureofwitness | |

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

| | First/SoleHolderor Guardian(incaseofMinor) | SecondHolder | ThirdHolder |
|------------|--|--------------|-------------|
| Name | | | |
| Signatures | | | |

(Signatures should be preferably in black ink).

***MarkedisMandatoryfield**

TheDepositoryParticipantshallprovideacknowledgementofthenominationformtotheaccountholder(s)

=====PleaseTearHere)=====

AcknowledgementReceipt

ApplicationNo.:

Date:

WeherebyacknowledgethereceiptoftheAccountOpeningandnominationApplicationForm:

| | |
|---------------------------|--|
| NameoftheSole/FirstHolder | |
| NameofSecondHolder | |
| NameofThirdHolder | |

DepositoryParticipantSealandSignature

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

General Clause

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

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

Beneficial Owner information

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

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

Fees/Charges/Tariff

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

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

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

Dematerialization

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

Separate Accounts

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

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

Transfer of Securities

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

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

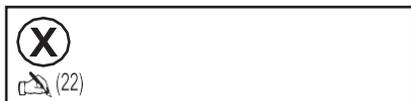
i) The stockbroker/stockbroker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI

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

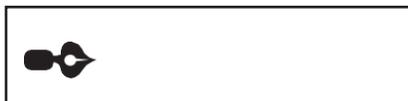
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

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

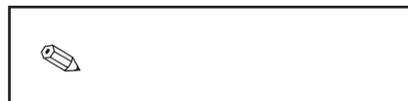
16. In case of Basic Services Demat. Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.



1st Holder Sign



2nd Holder Sign



3rd Holder Sign

Manner of Closure of Demat account

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

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

Default in payment of charges

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

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

Liability of the Depository

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

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

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

Freezing/Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

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

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

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

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

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



1st Holder Sign



2nd Holder Sign



3rd Holder Sign

HUF DECLARATION

To,
Rajchandra Capital Services Pvt. Ltd.,
B-101/102, Skiffle , 1st Floor, 143, Vallabh Baug Ext. Road,
Above Bank of Baroda, Ghatkopar (E), Mumbai 400 075.

Date:-_____

Dear Sir,

I hereby request you to open our trading/Demat / account with you , for our HUF being karta of family, I hereby declare that following is the list of members in our HUF, as date of Application, as below

Client Code :- _____

| Sr.No | Name of Family Member | Date Of Birth DD/MM/YY | Gender | Relationship with Karta | Signature |
|-------|-----------------------|---------------------------|--------|----------------------------|-----------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

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

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

Thanking You,
Yours truly

Karta
(Affix stamp of HUF)

**FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE ENTITY
PRINT TO BE TAKEN ON THE LETTERHEAD OF THE COMPANY**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF (Company Name) _____ AND HAVING ITS REGISTERED OFFICE AT (Company Add) _____
 _____ HEAD ON (Date of meeting) _____ DAY OF (Time) _____ 201
 _____ AT _____ AM / PM.

"RESOLVED THAT the Company being entitled to carry out transactions in securities market, do open an account and get register as Client with Rajchandra Capital Services Pvt. Ltd. Member of Bombay Stock Exchange Ltd. (BSE), National Stock Exchange of India Ltd (NSE), Metropolitan Stock Exchange of India Ltd. (MSEI) and a Depository Participant of Central Depository services (India) Limited (CDSL) for the purpose of dealing in equities, derivatives, mutual fund units and other permissible securities and the said Member and/or DP be and is hereby authorised to honor instructions regarding purchase, sale, dematerialization of shares and securities, contracts, units etc. and other orders made on behalf of the company, whether oral or written, by any one of the following directors/ authorised signatories whose specimen signatures are as under and the said member and/or DP to act upon any instructions so given relating to the said account

| SR. NO. | NAME | DESIGNATION | SPECIMEN SIGNATURE |
|---------|------|----------------------|--------------------|
| 1 | | Director | X |
| 2 | | Director | X |
| 3 | | Authorised Signatory | X |

who are authorised to give orders / instruction for sell, purchase, transfer, endorse, negotiate and / or otherwise deal with / through Rajchandra Capital Services Pvt. Ltd. on behalf of the Company.

RESOLVED FURTHER THAT Mr. _____ and / or Mr. _____ and / or Mr. _____ Directors of the Company be and are hereby authorised severally or jointly to sign, execute and submit such applications undertaking, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT any one of the above mentioned signatories would have authority to act on behalf of the Company and actions of any Directors / Authorised Signatories will be binding on the Company.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any one / two Directors of the Company and Company Secretary who shall sign the same in token of their presence."

Certified true copy

For _____ Pvt. Ltd. / Ltd. *

Chairman / Director

Date : _____

Place : _____

**FORMAT DECLARATION TO BE GIVEN BY PARTNERSHIP/
PROPRIETOR SHIP FOR TRADING ON LETTERHEAD OF THE FIRM**

To,
 Rajchandra Capital Services Pvt. Ltd. Date: _____
 Bilquees Mansion 2nd Floor, North Side, 261/263,
 D. N. Road, Fort, Mumbai 400 001.

Dear Sir,

We refer to the trading account opened with you in the name of _____ and declare and authorize you as under:

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a Partnership/Proprietor firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the delivery / collateral / margin obligations pursuant to the trading operations, we authorize you to recognize the beneficiary Account No. _____ with Depository Participant _____ opened as a account in the name of the partners/proprietors of the firm. We agree that all the aforesaid obligations of the firm will be handled and completed through transfers to / from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We Authorize _____, partner/proprietor in the firm to execute / sign and submit such documents, agreements deeds etc. as may be necessary and engage in business with Rajchandra Capital Services Pvt. Ltd. And to sell, purchase, endorse, negotiate and do all other things that may be necessary to engage in business on behalf of the partnership/proprietorship and to sign the authority for adjustment of balances in family accounts.

Signature by all partners/proprietors of the Firm:

| Name of Partners/Proprietors (in BLOCK LETTERS) | SIGNATURE |
|--|-----------|
| | ⓧ |
| | ⓧ |
| | ⓧ |



Rajchandra Capital Services Pvt. Ltd.

MEMBER - BSE, NSE, MSEI, DP : CDSL

FATCA-CRS Annexure for Individual Accounts (including Sole Proprietor)

Details under FATCA and CRS (see instructions)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

| Particulars | Details |
|---|--|
| Name of the Applicant | |
| Customer ID | |
| Father's Name <i>(mandatory if PAN not provided)</i> | |
| Spouse's Name <i>(optional)</i> | |
| Gender | <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others |
| Permanent Account Number (PAN) | |
| Aadhar ID <i>(optional)</i> | |
| Identification Type <i>(Name of Document(s) submitted as proof of identity)</i> | |
| Identification Number <i>(of proof of identity)</i> | |
| Occupation Type <i>(Service, Business, Others-please specify)</i> | |
| Date of Birth <i>(in DD/MM/YYYY format)</i> | |
| Nationality | |
| City of Birth | |
| Country of Birth | |
| Residence address for tax purposes <i>(include City, State, Country & Pin code)</i> | |
| Address Type | <input type="checkbox"/> Residential & Business <input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business |

Tax residence declaration *(tick any one, as applicable)*

I am a tax resident of India and not resident of any other country **OR**

I am a tax resident of the country/ies mentioned in the table below

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID Number below

| Country [#] | Tax Identification Number [%] | Identification Type (TIN or Other [%] , please specify) |
|----------------------|--|--|
| | | |
| | | |

[#] To also include USA, where the individual is a citizen/ green card holder of USA

[%] In case Tax Identification Number is not available, kindly provide functional equivalent[§]

Certification

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

Name: _____

Signature: _____

Date: _____

Place: _____

Rajchandra Capital Services Pvt. Ltd.

CIN NO. U67120MH1997PTC112138

Regd. Off.: Bilquees Mansion, 2nd Floor, North Side, 261/263, D. N. Road, Fort, Mumbai - 400 001.

Tel.: 022 - 2263 0748 • **Fax :** 022-2262 6087 • **E-mail :** rajchandra@rajchandra.com • **Website :** www.rajchandra.com

Corporate Off.: B-101/102, Skiffle, 1st Floor, 143, Vallabh Baug Extn. Road, Above Bank of Baroda, Ghatkopar (E), Mumbai - 400 075 • **Tel.:** 022 - 2506 6210 / 11 / 12 / 13 • **Fax :** 022 - 2506 9510. • **E-mail :** rajchandra@rajchandra.com.



Rajchandra Capital Services Pvt. Ltd.

MEMBER - BSE, NSE, MSEI, DP : CDSE

FATCA-CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any **change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.**

Please note that you may receive more than one request for information if you have multiple relationships with Edelweiss or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA-CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. **If you are a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.**

⁵It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

| FATCA/ CRS Indicia observed (ticked) | Documentation required for Cure of FATCA/ CRS indicia |
|---|--|
| U.S. place of birth | 1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth |
| Residence/ mailing address in a country other than India | Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below) |
| Telephone number in a country other than India | If no Indian telephone number is provided Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below) If Indian telephone number is provided along with a foreign country telephone number 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR 2. Documentary evidence (refer list below) |
| Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts) | Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below) |

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

*** Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

Rajchandra Capital Services Pvt. Ltd.

CIN NO. U67120MH1997PTC112138

Regd. Off.: Bilquees Mansion, 2nd Floor, North Side, 261/263, D. N. Road, Fort, Mumbai - 400 001.

Tel.: 022 - 2263 0748 • **Fax :** 022-2262 6087 • **E-mail :** rajchandra@rajchandra.com • **Website :** www.rajchandra.com

Corporate Off.: B-101/102, Skiffle, 1st Floor, 143, Vallabh Baug Extn. Road, Above Bank of Baroda, Ghatkopar (E), Mumbai - 400 075 • **Tel.:** 022 - 2506 6210 / 11 / 12 / 13 • **Fax :** 022 - 2506 9510. • **E-mail :** rajchandra@rajchandra.com.

POWER OF ATTORNEY – VOLUNTARY

TO ALL TO WHOM THESE PRESENTS SHALL COME I/We _____
 _____ (name of the BO), India, Indian inhabitant/Non-resident SEND GREETINGS.

Whereas I/we hold a Beneficiary account no.12035300 _____ (BO-ID) with Central Depository Services (India) Limited, with **Rajchandra Capital Services Pvt Ltd.** (a Depository Participant registered with CDSL) bearing DP-ID 12035300.

And Whereas I/we are Investor engaged in buying and selling of securities through **Rajchandra Capital Services Pvt Ltd** member of **Bombay Stock Exchange Ltd.** and **National Stock Exchange of India Ltd.** bearing SEBI Registration Nos. INZ000233334

And Whereas due to exigency and paucity of time, I am desirous of appointing an agent/ attorney to operate the aforesaid beneficiary account on my behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/We THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT M/s **Rajchandra Capital Services Pvt Ltd** and my/our true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name to do the aforesaid Depository Participant to debit securities and/ or to transfer securities from the aforesaid account for the purpose of delivering the same to the clearing house of the recognized stock exchange toward any segment in respect of securities sold by me through them.

Further, Rajchandra Capital Services Pvt. Ltd. the attorney can do and instruct the Depository Participant to debit securities and/or transfer securities from the aforesaid account for the purpose of delivering/ pledging the same to the Clearing Corporation, Exchange authorized professional clearing member and Rajchandra Capital Services Pvt. Ltd., Member of BSE, NSE.

This authority is restricted to the margin and pay-in obligations arising out of the transactions effected by me/us through / by (**Rajchandra Capital Services Pvt. Ltd.**) at **BSE / NSE** and I ratify the instructions given by the aforesaid Clearing Members to the Depository Participant named hereinabove in the manner specified herein.

This POA “Authorize the Stock Broker / Depository Participant to send consolidated summary of Client’s scrip-wise buy and sell positions taken with average rates to the client by way of SMS / email on adaily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time”

List of the accounts in the name of Rajchandra Capital Services Pvt. Ltd. as below:

| | |
|---|---|
| BSE PRINCIPAL A/C : CDSL 120353000008346 | NSE POOL A/C : CDSL 1203530000015858 |
| BSE EARLY PAYIN A/C: CDSL 1100001000014859 | NSE EARLY PAYIN A/C: CDSL 1100001100018368 |
| BSE POOL A/C : NSDL 10001697 | NSE POOL A/C : NSDL 10008701 |
| MARGIN A/C : 1203530000027399 | |

Rajchandra Capital Services Pvt. Ltd. would return the securities that may have been received by it erroneously or those securities that it was not entitled to receive.

I/We further agree and confirm that the powers and authorities by this Power of Attorney shall continue until it is revoked in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by **Rajchandra Capital Services Pvt. Ltd.**

And I, do hereby agree to ratify all lawful acts and things done by said attorney pursuant to the powers herein above contained.

IN WITNESS WHERE OF I, the above named
 Mr./Mrs. _____ have

hereunto set my hands this _____ day of _____ Two thousand _____

Signed, sealed and delivered

Beneficial Owners:

 (24)

1st Holder Sign



2nd Holder Sign



3rd Holder

Signature of Witness: X _____

Name: _____

Address: _____

I/We accept (For Rajchandra Capital Services Pvt Ltd)

Authorised Signatory: _____

Place: _____ **Date:** _____

1st Holder Sign

2nd Holder Sign

3rd Holder Sign

CHECKLIST FOR INDIVIDUALS (FOR OFFICE ONLY)

| | Branch/ Franchise | | Head Office | |
|---|-------------------|----|-------------|----|
| | Yes | No | Yes | No |
| DOCUMENT RELATED | | | | |
| Application form filled in CAPITAL LETTERS | | | | |
| All Corrections / overwriting on the application form duly authenticated by ALL applicants | | | | |
| Acquiring sales team details (Agent Code, SM Code etc) captured on the application form | | | | |
| All documents are SELF ATTESTED by the customer/customer's guardian (In case of minor) | | | | |
| All documents are VERIFIED WITH ORIGINALS, tsmap is affixed and duly signed by RM | | | | |
| KYC RELATED | | | | |
| Type of Account, Occupation, Personal and Financial Details compulsorily filled | | | | |
| Contact details - Telephone number and email id are filled | | | | |
| Photo affixed on the application matches with the identity proof | | | | |
| Date of Birth on identity proof matches with the application form | | | | |
| Address on the application matches with that of the identity proof | | | | |
| KYC certification done by Relationship Manager | | | | |
| BANK ACCOUNT RELATED | | | | |
| Bank Account details are properly filled (including MICR code) | | | | |
| Bank Account details match with the account number on the cheque leaf | | | | |
| Bank Account, Name, Type of Acc. Branch address details are properly captured | | | | |
| IFSC Code details are properly captured | | | | |
| SIGNATURE RELATED | | | | |
| Signature across applicant's photo | | | | |
| Signature on the application matches with signature on identity proof | | | | |
| All pages of the agreements are duly signed / initiated wherever required | | | | |
| Witness signature, full name and complete address are filled | | | | |
| BROKERAGE/FEES RELATED | | | | |
| Brokerage plan signed by applicant | | | | |
| Subscription plan signed by client (as applicable) | | | | |
| PROOF OF IDENTITY-ANY ONE | | | | |
| <input type="checkbox"/> Pan Card (Mandatory) <input type="checkbox"/> Passport (with in expiry date) | | | | |
| <input type="checkbox"/> Driving License (With in expiry date) <input type="checkbox"/> Voter Id | | | | |
| PROOF OF RESIDENCE -ANY ONE | | | | |
| <input type="checkbox"/> Passport <input type="checkbox"/> Driving License <input type="checkbox"/> Voter Id | | | | |
| <input type="checkbox"/> Telephone Bill <input type="checkbox"/> Electricity Bill <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Latest Bank Statement | | | | |
| BANK PROOF - ANY ONE | | | | |
| <input type="checkbox"/> Pre Printed Cheque lead <input type="checkbox"/> Passbook <input type="checkbox"/> Latest Bank Statement | | | | |
| Checklist verified by | | | | |
| Name of the Sales Manager _____ | | | | |
| Emp code of the Sales Manager _____ | | | | |
| Signature of the Sales Manager _____ | | | | |

Quotes

“Only buy something that you’d perfectly happy to hold if the Market is shutdown for 5 years.”

- Warren Buffet

“Stocks are simple. All you do is buy shares in a great business for the less than the business is intrinsically worth, with managers of the highest integrity and ability.

Then you own those shares forever.”

- Warren Buffet

“Investing is putting out money to sure of getting more money back later at an appropriate rate”

- Warren Buffet

“If the business does well, the stock eventually follows”

- Warren Buffet

“The key to making money in the stocks is not to get scared out of them”

- Peter Lynch

“Investing is fun, exciting & dangerous if you don’t do any work”

- Peter Lynch

“An investment in knowledge always pays the better interest”

- Benjamin Franklin

“Sometimes your best investments are the one you don’t make.”

- Donald Trump

“Psychology is probably the most important factor in the Market – and one that is least understood.”

- David Dreman

“A market is the combination behavior of thousand of people responding to information, misinformation and whim.”

- Kenneth Chang

“When buying shares, ask yourself, would you buy the whole company?”