

ANNEXURE – 1
INDEX OF DOCUMENTS

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist. B. Document captures the additional information about the constituent relevant to trading account and an instruction/checklist.	As per annexure 9-11
2.	Policies and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	12-14
3.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the stock broker).	15-16
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
4.	Dp Account Opening Form	Document captures the additional information about the constituent relevant to DP account opening form, nomination form, Rights and Obligations, SMS alert, POA etc.	17-28
5.	Voluntary Clauses	Additional clauses pertains to ease of operation between client and member.	29-31
6.	Running Account Authorisation	This letter is authorisation to maintain fund, securities on running account basis & for authorisation to receive contract as well other relevant documents.	32
7.	ECN Letter	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	33
8.	Consent letter for receiving Alerts, Trading Calls, Research Reports etc on Mobile	This letter permit broker to share data & information pertaining to client on Mobile.	34
9.	Auto Square off/Liquidation of open position	This letter denotes conditions under which Auto Square off/ Liquidation of open position will take place.	35
10.	Sharing of Data and Information	This letter permit broker to share data & information pertaining to client.	41
FORMAT OF DOCUMENTS			
11.	Declaration by HUF	To be provided on letterhead of firm (if applicable)	42
12.	Declaration by partnership firm	To be provided on letterhead of firm (if applicable)	42
13.	Format of Board Resolution	To be provided on letterhead of firm (if applicable)	43

PROPRIETARY TRADE DECLARATION

In terms of circular no. SEB/MRD/SE/CIR-42/2003 dated 19 Nov. 2003 issued by Securities Exchange Board of India the broker member is obliged to disclosed to its clients / constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that depending upon the market conditions, the members, its directors or its associates do invest / trade in capital / derivatives segment. The same may please be noted.

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INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/Voters Identity Card/Ration Card/ Registered Lease or Sale Agreement of Residence/

Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

- (*Documents having an expiry date should be valid on the date of submission.)
1. UID/Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

Annexure

Details of Promoters / Partners / karta / Trustees and whole time directors forming a part of KYC Application Form for Non-Individuals

Name of Applicant: _____ PAN of the Applicant:

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Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable: Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable: Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable: Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 No

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____	Signature across Photograph
--	-----------------------------------

Please tick, if applicable: Politically Exposed Person (PEP)
 Related to a Politically Exposed Person (RPEP)
 No

Name, Company stamp & Signature of the Authorised Signatory(ies) Date

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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.

TRADING ACCOUNT RELATED DETAILS

BANK ACCOUNT(S) DETAILS					
No.	MICR No.	Bank Name, Branch Add. & Tel. No.	A/c Type	Account No.	IFSC Code
1					
2					

In case of NRE clients, please provide the PIS Permission No..... Date.....issued by Branch.
RBI Reference No.: RDI approval Date:

Please provide Cancelled Cheque leaf for MICR & IFSC Code

DEPOSITORY ACCOUNT(S) DETAILS					
Sr. No.	Depository Participant Name	Beneficiary name	DP ID No.	BO ID	Depository Name
1*					(NsdI/CdSl)
2					(NsdI/CdSl)

*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1

TRADING PREFERENCES			
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.			
Ex. Segment	Cash	Derivatives	Currency Derivatives
BSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NSE SLBM	<input type="checkbox"/>	N.A.	N.A.
MCX-SX	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

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


DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS			
If client is dealing through the sub-broker, provide the following details:			
Name		BSE SEBI Reg. No.	
Regd. Off.		NSE SEBI Reg. No.	
Address		MCX-Sx SEBI Reg. No.	
		Remisier/AP (NSE)	
Signature X	Tel. No.	Remisier/AP	
	Fax No.	Remisier/AP	
	Website	Remisier/AP	

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

Name of Stock Broker	Name of Sub-Broker, if any	Client Code	Exchange

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

ADDITIONAL DETAILS	
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):	<input type="checkbox"/> YES <input type="checkbox"/> NO
Specify your Email id, if applicable:	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):	<input type="checkbox"/> YES <input type="checkbox"/> NO
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: Provide details on Annexure-A attached.	
Any other information	

INTRODUCER DETAILS (Optional)			
Name		Signature	
Add. / Tel.		I	
Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify_____			
OTHER DETAILS			
1. Gross Annual Income Details (please specify): Income Range per annum: <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 Crore <input type="checkbox"/> > 1 Crore Net-worth as on (date)_____ (_____) (Net worth should not be older than 1 year)			
2. Occupation (please tick any one and give brief details): <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____			
3. Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)			
4. Any other information: _____			
NOMINATION DETAILS (FOR INDIVIDUAL ONLY)			
<input type="checkbox"/> I / We wish to nominate		<input type="checkbox"/> I / We do not wish to nominate	
Name of Nominee		Relation with Nominee	
Address		PAN No.	
		Tel. No.	
If Nominee is a minor, details of Guardian		Date of Birth	
Name of Guardian			
Address & Tel No.		Signature of Guardian	
Witnesses (Only applicable in case the account holder has made nomination)			
Name		Name	
Address		Address	
Signature		Signature	
DECLARATION			
1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.			
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.			
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.			
Name		Signature	
Place		Date	

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name		
Signature		
Designation		
Employee Code		
Date		

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents.

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

For Kisan Ratilal Choksey Shares and Securities Pvt. Ltd.

Date: _____

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

Policies and Procedures

MANDATORY

A. Policy for Penny Stock

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

B. Setting up client's exposure limit:

- The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits 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 in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.
- In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin or settlement obligations.

C. Applicable brokerage rate:

- Brokerage Rate is mutually decided between the Member and each client based on client's net worth, expected trading volume etc. The maximum brokerage chargeable will be within the Rules & Regulations of the Exchanges.
- The applicable brokerage rate is mentioned in the KYC and any future change in the brokerage rate will be communicated to the client.

D. Imposition of penalty / delayed payment charges:

- Clients will be liable to pay late pay in/delayed payment charges for not making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate of 21% p.a. or as intimated separately if revised.
- Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

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

- Without prejudice to the stock brokers other rights (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.
- The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & borne by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares are actually received in the stock broker designated demat account. In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin /

security is made available by way of securities as permitted by exchange, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

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

F. Shortages in obligations arising out of internal netting of trades:

- Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.
- The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:
 - a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
 - b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits Which ever is higher.
 - c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day which ever is higher.

G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

- We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts. Intimation of cheques deposited or to be deposited will not be considered in such cases.

H. Temporarily suspending or closing a client's account based at the client's request

- On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.
- On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

I. Deregistering a Client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- (i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

- (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

J. Inactive Client account: Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

K. Client Acceptance of Policies and Procedures stated hereinabove:

- I/We have fully understood 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 with through any one or more means or methods. These Policies and Procedures shall always be read 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.

MANDATORY**TARIFF SHEET**

Sub-broker Code	RM
Mapped in Terminal no.:	Introducer
Primary Trader/dealer Code	Secondary Trader/dealer Code

 Online/ Offline

Rms Limit

Normal	Auto Sq. off
--------	--------------

A/c type (Please tick)	Direct	ODIN	Online	Out Station
Derivatives Segment				
Capital Market Segment				
Currency Derivatives Seg.				

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		
Normal	Future	Option	For Bo Table no.	Future	Option	For Bo Table no.
1st Leg	%			%		
2nd Leg	%			%		
Minimum	Paise			Paise		

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

Transaction charges: At Actuals	Stamp Duty: At Actuals	Service Tax: At Actuals
Security Transaction Tax: At Actuals	SEBI Turnover Tax: At Actuals	Clearing Charges: At Actuals

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 @ 21% p.a. will be levied on the client.
- Cheque return charges at actuals.

DEPOSITORY SCHEME

AMC:	Deposit Link Scheme
------	---------------------



SIGNATURE OF NP/AP/REMISSER

SIGNATURE OF RM

SIGNATURE OF CLIENT

TO BE FILLED UP BY HO

Client type	Group code
Area:	Region:

Form Received in HO	Form Accepted/Rejected
Form checked by	
Client activated in E. N. on	Rejection Rectified on

	Opened by	Date
Broking Account (if applicable)		
Demat Account (if applicable)		

SCHEME I**DEPOSITORY TARIFF STRUCTURE**

Particulars	Individual	Non-individual
Account Opening	NIL	
Annual Maintenance Charges	500/- P. A.	700/- P. A.
Custody Charges	Nil	Nil
Dematerialisation (Incl. postal Charges)	Rs. 32/-per request and Rs. 4 per additional certificate	Rs. 32/-per request and Rs. 4 per additional certificate
Rematerialisation	Rs. 32/- per request	Rs. 32/- per request
Transaction Charges		
On Market / Early Payin	Min Rs. 14/- per ISIN or 0.04% whichever is higher	Min Rs. 14/- per ISIN or 0.04% whichever is higher
Off Market	Min Rs. 14/- per ISIN or 0.04% whichever is higher	Min Rs. 14/- per ISIN or 0.04% whichever is higher
Inter Depository	Min Rs. 14/- per ISIN or 0.04% whichever is higher	Min Rs. 14/- per ISIN or 0.04% whichever is higher
Pledge / Unpledge / Invocation	Rs. 25/- per request	Rs. 25/- per request
Ad Hoc Statement (Per Account)	Rs. 25/-	Rs. 25/-

SCHEME II

Non Refundable Deposit of Rs. 2000/- and No AMC	
Account Opening	NIL
Annual Maintenance Charges	NIL
Custody Charges	NIL
Dematerialisation (Incl. postal Charges)	Rs. 32/-per request and Rs. 4 per additional certificate
Rematerialisation	Rs. 32/- per request
Transaction Charges	
On Market / Early Payin	NIL
Off Market	Min Rs. 14/- per ISIN or 0.04% whichever is higher
Inter Depository	Min Rs. 14/- per ISIN or 0.04% whichever is higher
Incoming Cahrges for Off / Inter Depository	NIL
Pledge / Unpledge / Invocation	Rs. 25/- per request
Ad Hoc Statement (Per Account)	Rs. 25/-
Account Closing Cahrges	NIL

SCHEME III

Particulars	INDIVIDUAL
Account Opening	NIL
Annual Maintenance Charges	Rs. 300/-
Custody Charges	NIL
Dematerialisation (Incl. postal Charges)	Rs. 32/- per request and Rs. 4 per additional certificate
Rematerialisation	Rs. 32/- per request
Transaction Charges	
On Market/Early Payin	Rs. 12/- per ISIN
Off Market	Min Rs. 14/- per ISIN or 0.04% whichever is higher
Inter Depository	Min Rs. 14/- per ISIN or 0.04% whichever is higher
Incoming Charges for Off / Inter Depository	NIL
Pledge / Unpledge / Invocation	Rs. 25/- per request
Ad Hoc Statement (Per Account)	Rs. 25/-
Account Closing Charges	NIL

Notes:

1. Client can opt for other plan after the expiry of the plan selected earlier or the same plan will be renewed automatically after the expiry.
2. Dematirialization charges based on Register A.D. charges.
3. Late fees of Rs. 25/- per instruction would be charged, if the slips are given on the pay in day.
4. Fees schedule is based on existing CDSL charges and is subject to changes at our discretion.
5. Service Tax would be charged on all the above charges.



First/Sole Holder



Second Holder



Third Holder

Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.
 5th Floor, Abhishek Bldg., Dalia Indu. Estate
 Off-Link Road, Andheri (West) Mumbai - 400 053.

Inperson Verification	
Signature: _____	
Name: _____	
Date: _____	
Place: _____	

Additional KYC Form for Opening a Demat Account

(To be filled by the Depository Participant)

Application No.		Date													
DP Internal Reference No.															
DP ID	1	2	0	1	0	7	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 the following details: -

Holders Details

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

Name*	
-------	--



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

Type of Account (Please tick whichever is applicable)

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

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

Guardian's Name		PAN													
Relationship with the applicant															

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

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

Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
-------------------------------	--

I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

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

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

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

Bank Details (Dividend Bank Details)

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

- (i) Photocopy of the cheque/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, (or)
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

MICR code starting with 000 will not be eligible for ECS.

<p>OTHER DETAILS</p> <p>1. Gross Annual Income Details (please specify): Income Range per annum: <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> > 25 Lacs Net-worth as on (date) _____ (_____) (Net worth should not be older than 1 year)</p> <p>2. Occupation (please tick any one and give brief details): <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____</p> <p>3. Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)</p> <p>4. Any other information: _____</p>

<p>SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4</p>	<p><input type="checkbox"/> Yes 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).</p>	<p><input type="checkbox"/> No </p>									
<p>Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6</p>	<p>I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We have read and understood the Terms and Conditions prescribed by CDSL for the same.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name/ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
<p>easi</p>	<p><input type="checkbox"/> Yes. 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.</p>	<p><input type="checkbox"/> No</p>									

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.

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.

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

(Signatures should be preferably in black ink).

For Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.

Director / Authorised Signatory

NOMINATION DETAILS



Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.

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

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

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

Nomination Registration No.	Dated

Nominee details

Full name of the Nominee (As per PAN Card) →			
	First Name	Middle Name	Last Name
Address			
City	State		
Country	PIN		
Telephone No.	Fax No.		
PAN	UID		
E-mail ID			
Relationship with BO (if any)			
Date of Birth (Mandatory if nominee is a minor)			

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. I/We appoint following person to act as **Guardian**:

Full name of Guardian of Nominee: (As per PAN Card) →			
	First Name	Middle Name	Last Name
Address			
City	State		
Country	PIN		
Telephone No.	Fax No.		
E-mail ID			
Relationship of Guardian with Nominee			

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

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

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

	First Witness	Second Witness
Names of Witness		
Address of Witness		
Signature of Witness	W/1	W/2

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

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

(Signatures should be preferably in black ink).

For **Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.**

(Authorised Signatory)

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Kisan Ratil Choksey Shares & Securities Pvt. Ltd.
 5th Floor, Abhishek Bldg., Dalia Indu. Estate
 Off-Link Road, Andheri (West) Mumbai - 400 053.

Inperson Verification	
Signature: _____	
Name: _____	
Date: _____	
Place: _____	

Additional KYC Form for Opening a Demat Account (For entities other than Individuals)

(To be filled by the Depository Participant)

Application No.		Date																	
DP Internal Reference No.																			
DP ID	1	2	0	1	0	7	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 the following details: -

Holders Details

Sole / First Holder's Name		PAN																	
Search Name																			
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														
<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Other (Specify)																
Date of Incorporation																			
SEBI Registration No. (If Applicable)									SEBI Registration Date										
RBI Registration No. (If Applicable)									RBI Approval Date										
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 [Automatic Credit] (If not marked, the default option would be `Yes`)	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be `No`)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

Clearing Member Details (To be filled by CMs only)

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

I / We wish to receive dividend / interest directly in to my 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"/> Cash Credit	<input type="checkbox"/> Others (specify)															
Bank Name																			
Branch Name																			
Bank Branch Address																			
City		State		Country		PIN													

- (i) Photocopy of the cheque/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, (or)
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

MICR code starting with 000 will not be eligible for ECS.

OTHER DETAILS	
1. Gross Annual Income Details (please specify): Income Range per annum: <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs -1 Crore <input type="checkbox"/> > 1 Crore	
2. Net-worth as on (date) _____ (_____) (Net worth should not be older than 1 year)	
3. Please tick If any of the authorized signatories / Promoters / Partners / 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.	
4. Any other information: _____	

SMS Alert Facility <small>Refer to Terms & Conditions given as Annexure-2.4</small>	<input type="checkbox"/> Yes 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).	<input type="checkbox"/> No
---	---	-----------------------------

Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST									
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Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								

easi	<input type="checkbox"/> Yes. To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> No
-------------	---	-----------------------------

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.

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.

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

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

(Signatures should be preferably in black ink).

For **Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.**

(Authorised Signatory)

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

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

Manner of Closure of Demat account

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



First/Sole Holder



Second Joint Holder



Third Joint Holder

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

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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



First/Sole Holder



Second Joint Holder



Third Joint Holder

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

Definitions:

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

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

Availability:

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

Receiving Alerts:

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



Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

1	2	0	1	0	7	0	0												
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

+91																			
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(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

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



Signatures _____ Sole / First Holder

_____ Second holder

_____ Third Holder

Place: _____

Date: _____

POWER OF ATTORNEY

Franking Required

TO ALL TO WHOM THESE PRESENT THAT, I/We, (1) _____
(2) _____ (3) _____

residing at/ having its registered office at _____

1st Holder



Whereas I/we hold beneficial owner account number 12010700 _____ with Central Depository Services (India) Limited (CDSL) through **KISAN RATILAL CHOKSEY SHARES & SECURITIES PVT. LTD.** registered with Securities and Exchange Board of India (SEBI) bearing Registration No. IN-DP-CDSL-07-99 / bearing DP ID And Whereas I/ we am/ are investor engaged in buying and selling securities through KISAN RATILAL CHOKSEY SHARES & SECURITIES PVT. LTD. who is a stock broker registered with SEBI and a member of BOMBAY STOCK EXCHANGE LIMITED bearing SEBI registration No. INB 10975834 & a member of NATIONAL STOCK EXCHANGE OF INDIA LIMITED bearing SEBI registration No. INB 230975832 / INF 230975832 / INE 230975832 & the member of MCX STOCK EXCHANGE LTD. bearing SEBI Reg. No. INB260975835 / INF260975835 / INE260975835

2nd Holder



3rd Holder



And Whereas due to exigency and paucity of time I/ we am/ are desirous of appointing KISAN RATILAL CHOKSEY SHARES & SECURITIES PVT. LTD. as my/our Constituted attorney to operate my / our beneficial owner account on my/ our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein. Now know you all and these presents witness that I/ we do hereby nominate, constitute and appoint KISAN RATILAL CHOKSEY SHARES & SECURITIES PVT. LTD (hereinafter referred to as "the stock broker") as my true and lawful Attorney and authorize it to perform the following functions on my behalf:

- i. To transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat account Nos. BSE PRINCIPAL Account No. 1201070000000384, BSE POOL Account No. 1201070000000399, BSE Early Payin Account No.1100001000012583, NSE POOL Account NO 1201070000010863, NSE Early Payin Account No. 1100001100016297 and Margin Pledge Account No. 17118031 / IN301549, NSE SLB Early payin account no. 1100002300000178 & MCX SX Pool A/c : 1201070000433555 of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing (BSE Clearing Member ID No. 385 and NSE Clearing Member ID No. M50041, NSE BROKER ID 09758 & MCX SX Clearing member ID 10840) or future exchange that the stock broker has joined/ will join as a member or to any Demat accounts linked to the said Clearing Member ID provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.
- ii. To return to me/us, the securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me
- iii. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to Me / us by way of SMS / email / physical on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

iv. To apply for various products like mutual funds , Public Issues (Shares as we debentures) right offer of shares , tendering shares in open offer etc pursuant to oral/written/electronic instruction given by me/us to the stock brokers.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.


I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at 1102, Stock Exchange Tower, Dalal Street,fort, Mumbai- 400 001.

SIGNED AND DELIVERED by the withinnamed

Beneficial Owner /Bank Account Holders)

Name [1] _____) 

Name [2] _____) 

Name [3] _____) 

(Client) in the presence of Witness for BO;)

Name [1] _____) _____

Name [2] _____) _____

If HUF, Co-parceners Signature

Co-parceners Name	Co-parceners Signature

We accept
For Kisan Ratilal Choksey Shares and Securities Pvt. Ltd..

Director / Authorised Signatory
1102, Stock Exchange Tower, Dalal Street, Fort, Mumbai - 400 001.

Place : MUMBAI.

Date : _____

Voluntary Clauses

The Client and Stock Broker, in order to ensure smooth functioning of the operations agree to the terms and conditions stated herein below:

1. RIGHT OF SET OFF

The Stock Broker shall have the right to set off the balances of the Client with the Stock Broker in any account(s) in any Segment / exchange with respect to money and securities. All monies securities as admitted by exchange which the Stock Broker may hold on client's account shall be held subject to a general lien for the discharge of the Client's obligations to the Stock Broker.

2. CLIENT INFORMATION

In addition to the information given in the Client Registration Form and supporting documents/proofs submitted, it is the responsibility of the Client to ensure that, any change in the Client Registration Form or information provided to KRC by the Client, is updated immediately, in writing, by providing the relevant proofs/documents.

Additionally, if any statutory authority seeks information/documents about the Client, KRC shall provide the same with or without informing the Client. KRC, may from time to time, seek additional documents/information, to fulfill its regulatory responsibility and the Client shall provide the same immediately. Failure to provide such information may result in KRC taking appropriate action as it may deem fit.

In case the Client fails to update such change in the Client Registration Form information or fails to provide the information sought for by KRC, KRC, at its discretion, may decide on the appropriate course of action, including but not limited to refusal of further transactions of the Clients. The Client shall not hold KRC responsible for any consequential loss or damage and shall indemnify KRC for the same

3. FUNDS/SECURITIES

KRC will receive funds/securities and/or disburse funds/securities only from/to the bank account/demat account given by the Client in the Client Registration Form or subsequently submitted by it in writing to KRC, alongwith the applicable supporting documents. KRC reserves the right not to accept funds/securities from any other bank/demat account and also payments made through demand draft/pay order/cash. The Client shall not hold KRC responsible for any direct and/or consequential loss and/or damage and/or claims and will indemnify KRC from such consequential claims and/or damage and/or loss.

Third Party Payments: KRC reserves the right not to accept payments from bank account not mentioned in the Client Registration Form /updated in the Client DATABASE maintained with KRC. However, if, due to oversight KRC has accepted any such third party payments and credits for the same are given in the Client, KRC will reverse the credit immediately on discovering the same. Client shall not hold KRC responsible for any consequential loss or damage and shall indemnify KRC from the same.

Third Party Delivery of Securities: KRC reserves the right to accept deliveries only from such demat account where the Client is the sole/first holder and the same is mentioned in the Client Registration Form and/or updated in the Client database maintained with KRC. However, if, due to oversight, KRC has accepted any third party deliveries, the same shall be rectified in the manner deemed fit by KRC. The Client shall not hold KRC responsible for any consequential loss or damage and shall indemnify KRC from the same

4. RISK PROFILING OF THE CLIENT

KRC will based on its risk management policy give exposure, equivalent to a pre-determined multiple/times of the net credit balance in the ledgers (across all segments), the value collaterals given by the Client (after applying appropriate hair cut), track record of the Client, market conditions and./or regulatory directives and thus may vary from Client to Client. KRC reserves the right not to allow transactions in respect of certain Securities or Segments or orders/requests below and above certain value/quantity, as may be notified by KRC from time to time.

5. RISK MANAGEMENT POLICY

All the Client trades will be as per the Risk Management Policy, including but not limited to, exposure available to the Clients, collaterals accepted and its valuation after appropriate haircuts, square offs, applicable margins and payment of same, restriction in trading in certain stocks, etc.

Summary of the risk management policy shall be made available on KRC's website and or on specific request made by

the Client in writing to the Head office of KRC.

6. RESEARCH REPORT

In case the Client receives any research reports and/or updates from KRC, the recommendations given by the Research team of KRC are based on technical and fundamental analysis of the securities /sector/market and Client will take its own investment decisions, whether they are on the basis of these recommendatory calls/reports or not

The Client acknowledges that, KRC 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 KRC'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 KRC or any of its employees.

The Client agrees that in the event of KRC or any employee or official of KRC providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client and KRC shall not be liable or responsible for the same.

The Client assumes full responsibility with respect to his investment decisions and transactions.

KRC, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

7. CHARGES PAYABLE

KRC will automatically debit from the Client's ledger the following charges for services availed by the Client:

- a) Trading /DP Account Opening charges @ Rs. _____
- b) Delayed Payment Charges @ 21%, on the outstanding debit balance, in case the Client fails to settle the transaction within T+2 day.
- c) Cheque Bouncing Charges at actual.
- d) Contract notes / other Statement Dispatch charges upto Rs. 15/- only if the client has opted for ECN and requested for physical Contract notes.

The Client agrees to pay KRC brokerage, service tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transactions. A schedule of brokerage and taxes shall be provided by KRC to the Client from time to time upon request by the Client.

8. TELE TRADING FACILITY

KRC offers the facility of Tele-Trading, whereby the Client can call specific telephone numbers and place the orders. In case the Client wishes to avail this facility, the same will be subject to the following:

1. The Client shall inform, in writing, its consent to avail this facility
2. In case of corporate Client, the Client shall intimate, in writing, the names of persons who will place orders on behalf of the Clients
3. There will be two-level authorization, before the Client is allowed to place the orders. KRC may also seek additional information from the Clients before allowing the Clients to place order through this facility
4. All orders have to be placed during market hours only.
5. The Client shall maintain such computer hardware/software which is compatible with the hardware/software of KRC.
6. The orders will be executed only if KRC is convinced about the identity of the Client.
7. The Client will be provided with a User Identification Number and Password only with which the Client can place the order through this facility.
8. The Client should change the password immediately on receipt of the same as per the procedure prescribed by KRC.
9. It is the responsibility of the Client to ensure that the User Identification Number and password are kept confidential and not misused by anybody.
10. All orders placed using this facility, after the verification process, shall be deemed to have been placed by the

Client.

11. The Client should give all the relevant details, while placing the order, as sought by KRC, without any ambiguity.
12. KRC might record the conversations with the Client who uses this facility for placing the order and the Client agrees for such recording.
13. The Client shall not disown any transactions, placed using this facility, for any reasons, including but not limited to misuse of User Identification Number and password. The Client shall not hold KRC responsible for any direct and / or consequential loss/damage and shall indemnify KRC from the same.
14. KRC reserves the right to change the telephone numbers, from time to time, and KRC will intimate the Client about the same.
15. KRC reserves the right to withdraw this facility, at any point of time, after due intimation to the Client.
16. As proof of acceptance of the transaction, KRC shall provide either the recording of the conversation or the electronic log generated by the system which the Client accepts as authentic and conclusive evidence. The Client shall not dispute the same.

9. Statement of Accounts in Digital format

- i) KRC may send the statement of Trading Account, Demat statement of accounts/holding statement(s)/bills or other Statement(s) related notices, circulars, amendments and records and documents by whatever name called (hereinafter referred to as "Statement(s)") to the Client in physical and/or electronic form.
- ii) The Client hereby agrees and permits KRC under the terms of this document to provide to the client, Statement(s) through Internet (web based). Such Statement(s) shall be duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and Rules made there under

Trading in Exchange is in Electronic Mode: based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understood that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/front end system/network, which may be beyond your control and may result in delay in processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.



VOLUNTARY

RUNNING ACCOUNT AUTHORISATION

Financial Year: _____

From: _____

Date : _____

To

Kisan Ratilal Chosey Shares & Securities Pvt. Ltd.

Mumbai

Dear Sir,

I am / We are regularly Trading with you for Cash, Derivative & Currency Market in BSE/NSE/MCX-SX.

I/we hereby authorized you to do following on my/our behalf:

1. You can adjust any amounts receivable from me /us against any credits standing into my /our account or from my /our forthcoming pay-outs payable to me/us.
2. Further, I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT. The Securities lying in my lean A/c should be considered as margin deposits. The said Running authorization is subject to revocation in writing by me at any time. I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of BSE/NSE/MCX-SX.
3. The actual settlement of funds & Securities shall be done by you at except retention of an amount of Rs. 10000/- in view of administrative difficulty to settle the account.

Monthly

Quarterly

I/We shall bring any discrepancy within 30 working days from the receipt of Statements. You will transfer my funds/Securities lying with you within three working day of the request as the case may be.

I have noted the following :-

- 1) The authorization shall be signed by me only and not by any power of attorney holder or by any authorized person.
- 2) I/We also aware that the authorization can be revoked at any time at my/our own discretion.

Thanking you,

Yours faithfully,



Signature of the Client _____

Name of the Client: _____

Client Code : _____

AUTHORISATION FOR ELECTRONIC CONTRACT NOTE

VOLUNTARY

Date : _____

Kisan Ratilal Choksey Shares and Securities Pvt. Ltd.

Mumbai

Dear Sir,

I/We have been/shall be dealing through you as our broker on the Capital Market and/or Futures & Options Segments and/or Currency. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receive the contract notes Demat transaction/Holding statements, Quarterly & Annual statement of funds & securities in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes to me/us.

1

2

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form for reason to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us.

I/We also agree that non-receipt of bounce mail notification by you shall amount to delivery at my/our email accounts(s) email id(s).

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you.

I/We understand that I/We are liable to pay Rs. 15 per statement if we are opting for ECN facility and required in physical form in future. I/We also understand that on activation of this service. I/We shall not be receiving any statements mentioned above in Physical mode.

Thanking you

Yours faithfully



Signature of the Client _____

Name of the Client: _____

Client Code: _____

From,

Name : _____

Address: _____

To,

Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.

5th Floor, Abhishek Bldg., Dalia Indu. Estate

Off-Link Road, Andheri (West) Mumbai - 400 053.

Sir,

Sub : Debiting CDSL Charges

I have registered with you in BSE/NSE/MCX-SX having Client Code _____.

I request you to debit demat charges of my CDSL BO Account No. _____ to my above mentioned account.

Thanking you,

Yours faithfully,



Signature : _____

Date : _____

Place : _____

Consent letter for receiving Alerts, Trading Calls, Research Reports etc on Mobile

VOLUNTARY

To,
Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.
5th Floor, Abhishek Bldg., Dalia Indu. Estate
Off-Link Road, Andheri (West) Mumbai - 400 053.

Dear Sir/ Madam,

I/We hereby give my/our consent to give me/us Alerts, Research Calls, Reports, News, Live Updates or any other information on my Email ID given earlier for electronic communication and also on my Mobile No. _____.

I/We hereby also consent that the same shall not be treated as violation of DND or any other similar rules applicable from time to time. The number may be given to the exchange database also.

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

Thanking You,
Yours faithfully,

[] SMS, Research calls, News, Live updates,
please tick to register for Mobile Alert SMS.



Signature of the Client

Auto Square off/Liquidation of open position

VOLUNTARY

To,
Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.
5th Floor, Abhishek Bldg., Dalia Indu. Estate
Off-Link Road, Andheri (West) Mumbai - 400 053.
Dear Sir,

Sub: Auto square off in cash/Derivative segment

I/We desire to avail additional trading and delivery exposure limits calculated on the basis of my/our Collaterals held with KRCPSL. I/we agree and permit you to square off my/our trades done by me/us/for me/us under margin at the stipulated time fixed by Kisan Ratilal Choksey Shares & Securities Pvt. Ltd. (KRCSSPL) as per the norms of Auto square off. These norms are either on time basis (after _____) and or on MTM basis, which squares off trades on depletion to the extent of ____ % of my collaterals with KRCSSPL. {Collaterals are defined as + Ledger balances + Holding in DP (after haircut as applicable)}.

I/we am/are aware and I/we also understand that all my/our open positions for Intraday trading will be reversed /squared off, by /us voluntarily before _____, failing which KRCSSPL shall attempt to close (Square off) that are still open after _____. However, there shall be many occasions where total square off cannot be guaranteed due to various reasons. In view of the above, I/we shall not hold KRCSSPL responsible for any losses or auction losses arising from the Margin positions that could not be squared off by the end of the day for square off on timer basis or during the day on MTM basis as stated above. The liability if any, arising due to such non square will be borne by me/us at my/our cost and consequences .

I/we shall not hold KRCSSPL liable for losses caused directly or indirectly by government restrictions, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, accident, power failure, equipment of software malfunction, strike, event of national emergency, war, prohibitive governmental regulation, natural calamity or if any other force majeure cause which is beyond the reasonable control or any other conditions beyond KRCSSPL control.

Thanking you,
Yours truly,



[Redacted Signature]

Name, Seal, and signature of Sole / All holders

Client Name		Client Code	
Name of Network Partner		Approved by Network Partner/Branch	
Received on		Approved by Network Compliance Head	
Limits Activated on		Limits Activated by	

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KEPT BLANK**

PART B

Participant-Client Agreement for Securities Lending and Borrowing

This agreement is made and executed at _____ on this _____ day of _____ 2012.

Between:

M/s. Kisan Ratilal Choksey Shares & Securities Pvt. Ltd, a body corporate, registered under Companies Act, 1956, having its registered office at **1102, Stock Exchange Tower, Dalal Street, Fort, Mumbai 400001**, and KYC processing office Shop No. 101, Abhinav Complex, Near Rajasthan Bank, Silvassa- Vapi Road, Dadra & Nagar Haveli, Silvassa- 396230. hereinafter referred to as **"Participant"** (which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his /her heirs, executors and administrators / the partners of the said firm for the time being, the survivor or survivors of them and the heirs, executors and administrators of such last survivor / its successors and legal representatives, as the case may be) of the **One Part**;

And

Mr./Ms./M/s. _____, an individual / a proprietary concern / a partnership firm / a body corporate, registered / incorporated under the provisions of the Indian Partnership Act, 1932 / Companies Act, 1956, having his /her / its Permanent Account Number _____ ("PAN") and his/ her / its residence / registered office at _____

_____, hereinafter referred to as "Client" (which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his /her heirs, executors and administrators /the partners for the time being of the said firm, the survivor or survivors of them and the heirs, executors and administrators of such last survivor / its successors and legal representatives, as the case may be) of the **Other Part**.

WHEREAS:

- i. The Securities and Exchange Board of India (hereinafter referred to as **"SEBI"**) has formulated and issued the Securities Lending Scheme, 1997 (hereinafter referred to as **"SEBI Scheme"**) and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an "Approved Intermediary" registered with SEBI.
- ii. The AI is registered as an approved intermediary under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as **"SLBS"**) for facilitating lending and borrowing of securities through persons registered as "Participants".
- iii. Under the said SEBI Circular, there would be one master agreement with two individual parts. The first part of the agreement would be between the AI and the Participants and the second part of the agreement would be between the Participants and the Clients. Securities lending and borrowing can be undertaken by the Participants either on their own account or on account of the Clients registered with them by entering into an agreement with them.
- iv. Accordingly, the Participants who are desirous of lending or borrowing securities under the SLBS are required to enter into an agreement with the AI which shall be referred to as "Part A". The Participants are also required to enter into an agreement with their respective Clients which shall be referred to as "Part B". Part A and Part B together shall constitute the master agreement.
- v. The Participant has accordingly approached the AI for participating in the SLBS and the AI has agreed to facilitate such participation subject to the terms and conditions contained in the master agreement.
- vi. The Client is desirous of participating in the SLBS and, therefore, has approached the Participant. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.
- vii. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability under SLBS including any limitations, the liability and the capacity in which the Participant acts.
- viii. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the parties hereto agreed as under.

NOW THEREFORE THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS UNDER:

1. LEGAL FRAMEWORK

- 1.1. Securities lending and borrowing shall be facilitated by the AI in accordance with the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder by the AI and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation as applicable.
- 1.2. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

- 1.3. The provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation as applicable and Part A of the Master Agreement shall be deemed to be an integral part of this agreement and all the transactions under the SLBS by the Client shall be strictly in accordance with thereof. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable, and this agreement, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation shall prevail over this agreement. The provisions of this agreement are in addition thereto and not in derogation thereof.
- 1.4. The provisions of this agreement shall become applicable to the SLBS or such other scheme as may be framed for securities lending and borrowing by the AI with the prior approval of SEBI or as may be permitted by SEBI unless otherwise specified by the AI.
- 1.5. Master Agreement
- 1.5.1. There shall be one Master Agreement with two individual parts viz. Part A and Part B.
- 1.5.2. The agreement between the AI and the Participant constitutes Part A and this agreement constitutes Part B.
- 1.5.3. The provisions of Part A shall form part and parcel of this agreement. A certified true copy of Part A is annexed to this agreement.
2. **ELIGIBILITY CRITERIA**
Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by entering into this agreement with the Participant.
3. **CONSIDERATION**
In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, and other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.
4. **RIGHTS OF THE PARTICIPANT**
- 4.1. Margins
The Participant is empowered to call upon the Client to pay such margins as may be specified by the AI from time to time.
- 4.2. Recovery
The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities / obligations.
5. **OBLIGATIONS OF THE PARTICIPANT**
- 5.1. Issue of Confirmation Memo
The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.
- 5.2. Money / Securities to be kept in Separate Bank Account
The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder.
- 5.3. Update on Settlement Process
The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.
- 5.4. Compliance with Know Your Client Norms
The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.
- 5.5. Reconciliation of Account
The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.
- 5.6. Return of Securities and Lending Fees
- 5.6.1. Where the Client is a lender unless otherwise agreed upon between the Participant and the Client

5.6.1.1. The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI..

5.6.1.2. The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.

5.7. Delivery of Securities

5.7.1. Where Client is a borrower unless otherwise agreed upon between the Participant and the Client –

5.7.1.1. The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

6. **RIGHTS OF THE CLIENT**

6.1. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -

6.1.1. The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

6.1.2. The Client shall be entitled to receive lender's fee for the securities lent.

6.2. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client.

6.2.1. The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

6.2.2. The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.

6.3. Notwithstanding any other provisions of the Master Agreement, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

7. **OBLIGATION OF THE CLIENT**

7.1. Abide by Law & Acquaintance to Law

The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the Master Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.

7.2. Update & Comply with the Settlement Process

Notwithstanding anything contained in Clause 5.3, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.

7.3. Processing Charges

The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.

7.4. Change in Client Registration Form

The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the "Client Registration Form" provided by the Client to the Participant.

7.5. Authorised Representative

The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.

7.6. Return of Securities

The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.

7.7. Payment of Margins

The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.

7.8. Exposure / Position Limits

The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.

7.9. Securities lent to be Unencumbered

The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

7.10. Collateral

At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

7.11. Insolvency

The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

7.12. Cancellation of Transactions

Notwithstanding anything contained in the Master Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

7.13. Discontinuation of SLBS and Participation in SLBS

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

8. **ARBITRATION**

8.1. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

8.2. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

9. **GOVERNING LAW AND JURISDICTION**

9.1. This agreement shall be governed by and construed in all respects in accordance with the laws of India.

9.2. In relation to any legal action or proceedings to which the AI is a party, the parties irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

9.3. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

10. **EFFECTIVE DATE**

This agreement shall be effective as of the date first set forth above once executed by or on behalf of both parties from the date of execution and with immediate effect the Client shall be eligible to participate in the SLBS from such date the AI permits the Participant to participate in the SLBS subject to fulfillment of the terms and conditions as stipulated by the AI from time to time.

11. **TERMINATION**

This agreement shall forthwith terminate if the Participant for any reason ceases to be a Participant under the circumstances as prescribed by the AI. This agreement may be terminated by either party by giving prior written notice of at least one month without assigning any reason. Such termination shall, however, not affect the liabilities/ obligations of either party arising out of the transactions under the SLBS entered into prior to the date of the notice of termination.

12. **AMENDMENT**

This agreement shall not be altered, amended and /or modified by the parties in a manner that shall be in contravention of the provisions of Clause 1 of this agreement pertaining to the Legal Framework.

13. **HEADINGS**

The headings of the clauses are used for the purpose of convenience only and shall not affect the construction of the clauses or this agreement.

IN WITNESS WHEREOF the parties to this agreement have caused these presents to be executed as of the day and year first above written.

Signed for and on behalf of

Signed for and on behalf of

Participant : Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.

Client :

By (Name) :

By (Name) :

Signature :

Signature :

Title : **Authorised Signatory**

Title :

Witness 1 :

Witness 1 :

Witness 2 :

Witness 2 :

To,
Kisan Ratilal Choksey Shares and Securities Pvt. Ltd.
Mumbai
Dear Sir,

VOLUNTARY

Sub: Sharing of Data and Information

I/we am/are holding a trading account No..... and demat account no..... with KRC. I/we are availing the various financial products/facilities offered by the various business divisions of KRC. I/we am/are aware that while availing such products/facilities, KRC is mandated to obtain information about me/us and my/our transaction.

In view of the above, we hereby authorize KRC to share the following information/documents/data, about me/us and our transactions, to other business divisions of KRC i.e. KRC Commodity Brokers Pvt. Ltd.

1. Information provided by me in the Know Your Client (KYC)
2. My holdings in stocks
3. Ledger balances in my/our trading for both BSE and NSE
4. Transaction cum holding statement with KRC -DP

I/we would have no objection to KRC sharing the above information, about me to its other business divisions or group companies or affiliates.

Yours faithfully,



Name, Seal and Signature of Sole / All Holders

To,
Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.
5th Floor, Abhishek Bldg., Dalia Indu. Estate
Off-Link Road, Andheri (West) Mumbai - 400 053.

VOLUNTARY

Dear Sir,

Ref: Utilisation of credit balances in my ledger A/C by using the same towards investment in Liquid Bees.

I/We hereby authorise you to purchase / sell in the Benchmark Liquid Bees of Benchmark Mutual Fund or any other similar product, if there is credit balance in my/our ledger account & also sell the same whenever required.

Thanking you,

Sincerely



Name, Seal, and signature of Sole / All holders

FORMAT

Declaration to be given by partnership on Letter head of the firm

Date:

To,

Kisan Ratilal Choksey Shares & Securities Pvt. Ltd.

5th Floor, Abhishek Bldg., Dalia Indu. Estate

Off-Link Road, Andheri (West) Mumbai - 400 053.

Dear Sir,

We refer to the trading account being opened/opened with you in the name _____ 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 firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____ with depository _____ opened as a joint account in the names of the partner of the firm.

We agree that the obligations for shares purchased and /or sold by the firm will be handled and completed through transfer to/form 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 hereby authorize _____, partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with **KISAN RATILAL CHOKSEY SHARES & SECURITIES PVT. LTD.** and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (In Block Letters)	Signatures

HUF DECLARATION

FORMAT

Date: _____

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

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

Sr. No.	Name of Family Members	Sex	Relations	Date of Birth	Signature

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

Thanking you,

Yours truly,



Karta

(Affix stamp of HUF)

FORMAT OF RESOLUTION

FORMAT

ON LETTERHEAD OF COMPANY

RESOLVED THAT the Company be registered as client with Kisan Ratilal Choksey Shares and Securities Pvt. Ltd. Stock broker of the National Stock Exchange of India Ltd. (NSE) and the Stock Exchange, Mumbai (BSE), MCX Stock Exchange Limited (MCX-SX) and Depository Participant of the Central Depository Services Ltd. For the purpose of trading in the securities at BSE and opening a Demat account with the said member and the said member be and is hereby authorized to honor instructions given on behalf of the Company by any of the under noted authorized signatories:

No.	Name of Authorised person	Specimen Signature

Who are authorized to sell, purchase, transfer, endorse, negotiate and/ or otherwise deal in securities and/ or derivative, sign, execute and submit such application, undertakings agreements, DP instructions and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution on behalf of the Company.

RESOLVED FURTHER THAT Mr. _____ and/or Mr. _____ Directors / Authorized Signatories of the Company be and are hereby authorized to sign, execute and submit such applications, undertakings, agreements, DP Instructions and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT, the Common Seal of the Company is affixed, wherever necessary, in the presence of any two directors or Managing Director or Company Secretary, who shall sign the same in token of their presence.

RESOLVED FURTHER THAT, the above resolution shall remain effective and in force till such time as a fresh resolution canceling or amending the same is passed by the Board of Directors is furnished to

_____.

CERTIFIED TRUE COPY

Managing Director

Date: _____
 Name : _____
 Client Code: _____
 E-mail: _____

To,
Kisan Ratilal Choksey Shares and Securities Pvt. Ltd.

Mumbai

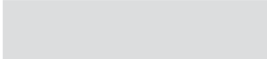
Dear Sirs,

Sub.: Confirmation of Receipt of executed documents.

With reference to my registration as Client with you for National Stock Exchange of India Limited (NSE)/Bombay Stock Exchange Limited (BSE)/Mcx Stock Exchange Limited (MCX-SX) in Cash Market, Derivative Segment & Currency Segment. I hereby confirm that I have received copies of the following executed documents:

1. Copy of Risk Management Policy
2. Copy of Know Your Clients Form (KYC).
3. Risk Disclosure Documents (RDD).
4. Running Account Letter
5. Policies and Procedures
6. Guidance Note
7. Rights & Obligations
8. Square off authorisation
9. Tariff Sheet
10. All other executed documents.

Thanking you,
 Yours faithfully,
 Signature of Client _____



----- (Please Tear here) -----

Specimen Signature Card

DP ID	1	2	0	1	0	7	0	0	Client ID	0	0					
-------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--

(To be filled up by Kisan Ratilal Choksey Shares and Securities Pvt. Ltd.)

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature			

Kisan Ratilal Choksey Shares and Securities Pvt. Ltd.

APPLICATION NO: [REDACTED]

CLIENT REGISTRATION KIT

INDIVIDUAL PROPRIETARY FIRM HUF NRO NRE

CLIENT NAME:

CLIENT CODE: BRANCH CODE:

DP ID: BO ID:.....

A/C OPENED IN: A/C OPENED BY:.....

Name of stock broker/trading member	Kisan Ratilal Choksey Shares and Securities Pvt. Ltd.
Regd. Office Address & Contact details:	1102, Stock Exchange Tower, Dalal Street, Mumbai 400 001. India. Tel.: 91-22-6653 5000 • Fax: 91-22-6633 8060
Corp. Office Address & Contact details:	krc Abhishek, C-5&6, 5th Floor, Dalia Industrial Estate, Link Road, Andheri (W), Mumbai 400 053, India Tel.: 91-22-6696 5555 • Fax: 91-22-6691 9576
Email	compliance@krchoksey.com
SEBI Registration No. BSE Cash and F&O	INB 010975834 (12/12/1997)/INF 010975834 (23/05/2000) (Self CM) (TM 385)
SEBI Registration No. NSE Cash and SLB	INB 230975832 (27/03/1998) (Self CM) (TM 09758)
SEBI Registration No. NSE F&O	INF 230975832 (24/04/2002) (Trading Member)
Clearing Member Name for NSE F&O	ICICI BANK LTD.
SEBI Regn. of Clg. Member - NSE F&O	INF 231134745 (26/07/2000)
Clearing Member Address for NSE F&O	Empire Complex, Lower Parel (W), Mumbai - 400013.
SEBI Regn. No. NSE Currency Segment	INE 230975832 (06/02/2009) (Trading Member)
Clearing Member Name for NSE Curr.	IL&FS Securities Pvt. Ltd.
SEBI Regn. of Clg. Member - NSE Curr.	INE 231308334 (25/08/2008)
Clearing Member Address for NSE Curr.	IL&FS House, Raheja Vihar, Chandivali Rd, Andheri (E), Mumbai - 72.
SEBI Registration No. MCX-SX Cash and Derivatives & Currency Segment	INB 260975834 (09/01/2013), INF 260975835 (09/01/2013), INE 260975835 (09/01/2013) (Self Clearing Member) (TM 10840)
Dp Details	IN-DP-CDSL-07-99 0- DP ID: 10700
Managing Dir. Name & Contact details	Deven Choksey, 022 66965555 & deven.choksey@krchoksey.com
Compl. Officer Name & Contact details	Rajiv Choksey, 022 66535000 & compliance@krchoksey.com

For any grievance/dispute please contact stock broker (name) at the above address or email id: customercare@krchoksey.com and Phone no. 91-022-66965555. In case not satisfied with the response, please contact the concerned exchange(s) at on BSE Tel:-022 2272 8097 E-mail Id :- is@bseindia.com on NSE Tel:- 022 2659 8190 • E-mail Id:- ignse@nse.co.in on MCX-SX Tel: 022 6731 9000 Email: investorcomplaints@mcx-sx.com

Kisan Ratilal Choksey Shares and Securities Pvt. Ltd.

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