

STEEL CITY SECURITIES LTD.

Confidence as Strong as Steel..... The STEEL CITY Group...

Serial No.

Client Code

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BO ID (NSDL)

I	N	3	0	2	3	2	4							
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BO ID (CDSL)

1	2	0	2	2	3	0	0							
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STEEL CITY GROUP**STEEL CITY SECURITIES LTD.**MEMBER OF NSE, BSE AND MSEI
DEPOSITORY PARTICIPANT OF NSDL AND CDSL**STEEL CITY COMMODITIES (P) LTD.**

MEMBER OF NCDEX & MCX

**APPLICATION FOR OPENING
TRADING & DEMAT ACCOUNT (NSE, BSE, MSEI, NSDL & CDSL)
(INDIVIDUAL & NON-INDIVIDUAL)**

FOR OFFICE USE ONLY

Facility	Option	
Trading A/c.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Demat A/c.	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NA
Online Trading	<input type="checkbox"/> NOW	<input type="checkbox"/> DIET <input type="checkbox"/> Mobile <input type="checkbox"/> No
ECN	<input type="checkbox"/> Yes	<input type="checkbox"/> No
POA	<input type="checkbox"/> Yes	<input type="checkbox"/> No
FAO Income Proof	<input type="checkbox"/> Yes	<input type="checkbox"/> No

DATE :	BRANCH NAME / SITE CODE	SCRUTINY BY	KRA ENTERED BY
KRA VERIFIED BY	DEMAT ENTERED BY	DEMAT VERIFIED BY	TRADING ENTERED BY
TRADING VERIFIED BY	PHOTO & SIGN SCANNED BY	FRANKED BY	APPL. SCAN VERIFIED BY
KRA SENT BY	POA SIGN SCANNED BY	DEMAT RELEASED BY	REMARKS :

ISO 9001 : 2008 CERTIFIED COMPANY

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

S.No.	Name of the Document	Brief Significance of the Document	Page 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/check list. B. Document captures the additional information about the constituent relevant to demat & trading account and an instruction / check list	A 1-4 A 5-8
2	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and DP service charges / fee structure	A 9
3	Rights and Obligations for DP	Document stating the Rights & Obligations of Depository Participant and client	A 10-11
4	Mutual Fund Service	Mutual Fund Service System Facility	A 19
5	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	B 1-4
6	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B 5-7
7	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B 8
8	Check List	Instructions for filling KYC form	B 10-12
9	Operational Business Policies	Document describing significant policies and procedures of the stock broker.	B 13
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
10	Undertaking	Additional terms and conditions specific to Member for the Purpose of operational efficiency	A 12-14
11	Power of Attorney	POA provided by BO to SCSL for settlement	A 15-16
12	Authorisation	For the operational convenience, if a client is dealing frequently and Running Account wishes to avoid exchange of funds and securities for every exchange/segment separately and on a daily/due date basis, this document may be signed by the client authorising broker to keep the account as running account across all exchange/segment.	A 17
13	Standing Instruction	Authorization to Debit demat / online trading charges in trading account	A 17
14	Alert Registration Form	SMS / E-mail Alert Registration Form	A 18
15	Write-up on PMLA	Brief Write-up on the provisions of prevention of money laundering Act 2002 (PMLA) which client needs to know	B 9

STEEL CITY SECURITIES LTD.,

(CIN : U67120AP1995PLC019521)

Regd. & Corporate Office : 49-52-5/4, Shantipuram, VISAKHAPATNAM - 530 016

Tel : 0891-2762579-84 / 99482 99679 / 98481 92732, Fax : 0891 - 2762586 / 2563585

NSE SEBI REGN. NO. : INB 230806132, INF 230806132, INE 230806132**BSE SEBI REGN. NO. :** INB 010806132, INF 011156438**NSDL SEBI REGN. NO. :** IN-DP-NSDL-191-2001, **NSDL DP-ID :** IN302324**CDSL SEBI REGN. NO. :** IN-DP-CDSL-135-2001, **CDSL DP-ID :** 22300**MSEI SEBI REGN. NO. :** INE 260806132, **ARN -** 17094**Compliance Officer Name :** K Sudhakar, 93466 16220, sudhakar.k@steelcitynettrade.com**CEO Name :** K. Satyanarayana, 98481 92422, murali.m@steelcitynettrade.com

For any grievance/dispute please contact stock broker **Steel City Securities Ltd** at the above address or email id compliance@steelcitynettrade.com and Phone No: +91 891 2549675. In case not satisfied with the response, please contact the concerned exchange(s) at ignse@nseindia.com and Phone No. 91-22-26598190, iscchennai@bseindia.com and Phone No.91-44-420089959 and investorcomplaints@mcx-sx.com and Phone No. 91-22-67318933

4.2. CORRESPONDENCE / LOCAL ADDRESS DETAILS* (Please see instruction E at the end) Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*			
Line 2			
Line 3			City / Town / Village*
District*	Pin / Post Code*	State / U.T. Code	ISO 3166 Country Code*

4.3. ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked) Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*			
Line 2			
Line 3			City / Town / Village*
State*	ZIP / Post Code*	ISO 3166 Country Code*	

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

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

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (Please refer instruction G at the end) Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorised Representative
<input type="checkbox"/> Name*	Prefix	First name	Middle Name
			Last Name
(If KYC number and name are provided, below details of section 6 are optional)			

PROOF OF IDENTITY (POI) OF RELATED PERSON* (Please see instruction (H) at the end)

Certified copy of any one of the following Proof of Identity(POI) needs to be submitted)

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

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

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

Date : DD/MM/YYYY	Place :	*Signature/Thumb Impression of Client
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9. ATTESTATION / FOR OFFICE USE ONLY

<input type="checkbox"/> (Originals verified) Self Certified Document copies received	<input type="checkbox"/> IPV Done on DD/MM/YYYY
<input type="checkbox"/> (Attested) True copies of documents received	
Name	Name
Signature	Signature
Employee Code	Employee Code
Designation	Designation
Date	Date

NON-INDIVIDUAL CLIENT REGISTRATION FORM

(Please fill this form in ENGLISH and in BLOCK LETTERS with black ink)

Latest Passport Size
Photograph

Please sign
across the
Photograph

PAN No.

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IDENTITY / ADDRESS DETAILS	Name of the Applicant										
	Date of Incorporation		Place of Incorporation								
	Date of Commencement of Business		Registration No.(e.g.CIN)								
	Status	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> FI <input type="checkbox"/> HUF <input type="checkbox"/> BOI <input type="checkbox"/> LLP <input type="checkbox"/> Government Body <input type="checkbox"/> Body Corporate <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FII <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Society <input type="checkbox"/> Defense Establishment <input type="checkbox"/> Non-Government Organisation <input type="checkbox"/> Others(Please specify) _____									
	Correspondence Address		Pin Code <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>								
	Registered Address (If different from above)										
	Phone		Mobile								
	Fax Number		Email ID								
	Specify the proof of address submitted for Corres. address										

OTHER DETAILS	Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: -: As per Annexure I :-	
	DIN of whole time directors :	
	Aadhar No. of Promoters/Partners/Karta	

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

FOR OFFICE USE ONLY	1. <input type="checkbox"/> Originals verified and self attested document copies received	Seal / Stamp of the Intermediary
	2. In Person Verification (IPV) Details :	
	Name of the person who has done the IPV : _____ Designation: _____ Employee ID : _____ Name of the Organisation : STEEL CITY SECURITIES LTD. Date of IPV : ____ / ____ / ____ Signature of the person who has done the IPV : _____	
	Date _____	
Name and Signature of the Authorised Signatory _____		

Details of Promoters / Partners / Karta / Trustees and wholetime directors forming a part of Know Your Client (KYC)

Application Form for Non-Individuals

Sr. No.	Name	Relationship with Applicant (i.e. promoters, wholetime directors etc.)	PAN	Residential / Registered Address	DIN of whole time directors / Aadhaar number of Promoters/ Partners / Karta	Photograph
1.						
2.						
3.						
4.						
5.						

Name & Signature of the Authorised Signatory(ies)

Date

Additional KYC Form for Opening a Demat & Trading Account

(Please fill this form in ENGLISH and in BLOCK LETTERS)

Unique Client Code	<input type="text"/>	Date	<input type="text"/>
DP ID (NSDL)	<input type="text"/>	BO ID	<input type="text"/>
DP ID (CDSL)	<input type="text"/>	BO ID	<input type="text"/>

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

HOLDER'S DETAILS	Sole/First Holder's Name		PAN	<input type="text"/>
	Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Business <input type="checkbox"/> Public Service <input type="checkbox"/> Professional <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House Wife <input type="checkbox"/> Student <input type="checkbox"/> Others _____		
	Second Holder's Name		PAN	<input type="text"/>
	Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Business <input type="checkbox"/> Public Service <input type="checkbox"/> Professional <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House Wife <input type="checkbox"/> Student <input type="checkbox"/> Others _____		
Third Holder's Name		PAN	<input type="text"/>	
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Business <input type="checkbox"/> Public Service <input type="checkbox"/> Professional <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House Wife <input type="checkbox"/> Student <input type="checkbox"/> Others _____			

NAME	Name*	PAN	<input type="text"/>
	*In case of HUFs/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 HUF/Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.		

GUARDIAN DETAILS <small>(where sole holder is a minor)</small>	[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]		
	Name of Guardian		
	Relationship with the Applicant		
	PAN No.		

STANDING INSTRUCTION & OTHER DETAILS	I/we instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit]	<input type="checkbox"/> YES <input type="checkbox"/> NO
	Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	<input type="checkbox"/> As per SEBI Regulation
	I/we request you to send Electronic Transaction-cum-Holding Statement at the email ID _____		<input type="checkbox"/> YES <input type="checkbox"/> NO
	Do you wish to receive dividend / interest directly into your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time.]		<input type="checkbox"/> YES <input type="checkbox"/> NO
	SMS Alert Facility Refer to Terms & Conditions given as Annexure-A - 2.4	<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
	easi	<input type="checkbox"/> Yes. If yes, please contact your DP for details [Facility through CDSL's website : www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> No

NRI'S / FOREIGN NATIONALS	In case of NRI's / Foreign Nationals		
	RBI Approval Reference Number		
	RBI Approval date		

BANK & DEMAT ACCOUNT DETAILS	A/c. type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Oth. _____	Depository	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	
	Account No.		DP Name		
	Bank Name		DP - ID		
	IFSC Code				
	MICR Code		Client ID		
	Branch Address	Pin Code <input type="text"/>			
<small>(Copy of a cancelled cheque leaf / pass book / bank statement containing name of the constituent should be submitted.) (For RTGS / NEFT IFSC mandatory)</small>			<small>(Copy of a Client master report containing name of the constituent should be submitted.)</small>		
OTHER DETAILS	Gross Annual Income Details (Please specify): Income Range per Annum				
	<input type="checkbox"/> Up to ₹ 1Lac <input type="checkbox"/> ₹ 1 Lac- to ₹ 5 Lac <input type="checkbox"/> ₹ 5 Lac to ₹ 10 Lac <input type="checkbox"/> ₹ 10 Lac to ₹ 25 Lac <input type="checkbox"/> > ₹ 25 Lac				
	Net-worth as on (date)		(Net worth should not be older than 1 year)		
	Occupation (Please tick any one and give brief details)		<input type="checkbox"/> Private Sector <input type="checkbox"/> Business <input type="checkbox"/> Public Service <input type="checkbox"/> Professional <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House Wife <input type="checkbox"/> Student <input type="checkbox"/> Others _____		
	Please tick, If applicable		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)		
Any other Information					
TRADING PREFERENCES	*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.				
	Exchanges	Cash	Derivatives	Currency Derivatives	
	NSE	<input checked="" type="checkbox"/> (C1)	<input checked="" type="checkbox"/> (C1)	<input checked="" type="checkbox"/> (C1)	
	BSE	<input checked="" type="checkbox"/> (C1)	<input checked="" type="checkbox"/> (C1)	NA	
	MSEI	<input checked="" type="checkbox"/> (C1)	<input checked="" type="checkbox"/> (C1)	<input checked="" type="checkbox"/> (C1)	
# 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		NSE SEBI Reg. No:		
	Registered Office Address		BSE SEBI Reg. No:		
			MSEI SEBI Reg. No:		
	Signature (SB / AP) <input checked="" type="checkbox"/>	Tel. No		Remiser / AP	
		Fax No.		Remiser / AP	
		Website		Remiser / AP	
	Whether dealing with any other stock broker/sub-broker(if case dealing with multiple stock brokers/sub-brokers. provide details of all)				
	Name of the Stock broker	Name of the sub-broker, if any	Client code	Exchange	
Details of disputes/dues pending from/to such stock broker/sub-broker					
ADDITIONAL DETAILS	Mode of receiving Statement of Account / Contract Note / Welcome Kit		<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form	
	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	
	If YES Specify Platform <input type="checkbox"/> NOW <input type="checkbox"/> DIET <input type="checkbox"/> MOBILE				
	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/other				
	Any other information				
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My Family (spouse , dependent children and dependent parents).					

INTRODUCER DETAILS (OPTIONAL)	Name		Signature		
	Add. / Tel.				
Status of the Introducer		Sub-broker/Remisier/Authorized Person/ Existing Client/Others, Please specify _____			
NOMINATION DETAILS FOR TRADING & DEMAT A/C. (for Individuals only) NOMINEE IDENTIFICATION DETAILS (please tick any one from (a) to (f) and provide details of the same)	<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> DP / <input type="checkbox"/> Trading / <input type="checkbox"/> Both <input type="checkbox"/> I/we do not wish to nominate				
	I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me/us in the said beneficiary owner account shall vest in the event of my/our death.				
	Name of the Nominee				Photograph of Nominee
	Relationship with BO (If any)				
	Mobile Number		Date of Birth of Nominee		
	Address of Nominee				Signature of Nominee across Photograph
			Pincode	<input type="text"/>	
	a) Signature of Nominee	 (N)			
	b) PAN of nominee	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	c) Aadhaar number of nominee	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	d) Savings bank account number of nominee, if maintained with the same participant	<input type="text"/>			
	e) Copy of any proof of identity document (accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure JB)	<input type="text"/>			
	f) Demat account details of nominee	DP ID	<input type="text"/>		
		Client ID	<input type="text"/>		
	Name of Guardian (If Nominee is a minor, details of guardian)				Photograph of Guardian (in case of minor)
	Address of Guardian				
			Pincode	<input type="text"/>	
	Nominee Reg. No.		Date :	<input type="text"/>	
	a) Signature of Guardian	 (G)			Signature of Guardian across Photograph
	b) PAN of guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>	
c) Aadhaar number of guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
d) Savings bank account number of guardian, if maintained with the same participant	<input type="text"/>				
e) Copy of any proof of identity document (accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure JB)	<input type="text"/>				
f) Demat account details of guardian	DP ID	<input type="text"/>			
	Client ID	<input type="text"/>			
Signature of two witness (Only applicable in case the account holder has made nomination)					
Name	Address		Signature with date		
1.					
2.					

DECLARATION FOR TRADING & DP	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 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.			
	4. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".			
	First / Sole Holder or Guardian	Second Holder	Third Holder	
Name				
Signatures	 (C1)	 (C2)	 (C3)	

FOR OFFICE USE ONLY	UCC Code Allotted to the client																		
	BO ID Allotted to the client (NSDL)	1	N	3	0	2	3	2	4										
	BO ID Allotted to the client (CDSL)	1	2	0	2	2	3	0	0										
	Documents verified with originals / In person Verification done by	Client Interviewed / Approved by																	
	Name																		
	Designation																		
	Employee code																		
	Date																		
	Signature																		
	I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.																		
Date :	Signature of the Authorised Signatory							Seal/Stamp of the stock broker											

Notes :

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination, are as below:
 - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
4. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.

TARIFF SHEET

CASH	Sq. up		Balance Delivery	
	Maximum	Minimum	Maximum	Minimum
NSE Cash	%	Paise	%	Paise
BSE Cash	%	Paise	%	Paise
MSEI Cash	%	Paise	%	Paise

DERIVATIVES	Sq. up		Nifty / Sensex Futures	Nifty / Sensex Options	Options Ex. Nifty / Ex. Sensex
	Maximum	Minimum			
NSE FAO	%	Paise	₹	₹	₹
BSE FAO	%	Paise	₹	₹	₹
MSEI FAO	%	Paise	₹	₹	₹
NSE Currency	%	Paise			
MSEI Currency	%	Paise			

* The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax and Service Tax which will be charged extra at the rate prevailing from time to time.

* The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorised Person/Introducer and client and the same are mentioned here.

 (C1)

*Signature of Client

Signature of Sub-broker /
Authorised Person / Introducer

Signature of Broker

SCHEDULE - A

Charges for DP Services of NSDL/CDSL w.e.f. 1st October, 2010

1) Demat Account Opening Charges	FREE
2) Annual Maintenance Charges for 1st year (to be paid in advance)	Rs.300/- p.a.*
3) Account Maintenance Charges for 2nd year onwards Quarterly basis for holding accounts	
(a) Scheme - I (for SCSL Trading Clients)	Rs.75/- p.q.*#
(b) Scheme - II (Non SCSL Trading Clients)	Rs.90/- p.q.*#
4) Dematerialisation Charges	Rs.3/- per Certificate.*
5) Rematerialisation Charges	
(a) A fee of Rs.10 for every hundred securities or part thereof subject to maximum fee of Rs.5,00,000; or	
(b) A flat fee of Rs.10 per certificate, whichever is higher + Rs.25 courier per RRF.	
6) DRF Rejection Submission Charges	Rs.15/- per DRF + Courier
7) Courier Charges	Rs.25/- per DRF & RRF.
8) Transaction Charges For Debits ONLY	
(a) Scheme - I (for Delivery to SCSL CM Pool Account)	Rs.24/- per Transaction.*
(b) Scheme - II (for Delivery given to any other Account)	Rs.24/- or 0.02% (whichever is higher).* per Transaction.
9) Pledge for Creation	Rs.50/- per Transaction.*
10) Additional Account Copy	Rs.15/- per Copy + Courier.
11) DIS Book request by Courier / Post	Rs.25/-
12) Quarterly Statement Charges (If no transactions in a quarter)	Rs.20/-
13) EASIEST (Electronic Access to Securities Information and Execution of Secured Transaction)	Rs.20/- per quarter.* \$
14) SPEED-E	Rs.125/- per quarter.

I / We have understood and accepted the charges for DP services of NSDL/CDSL as stated above.

 (C1)

(Sole/First Holder)

 (C2)

(Second Holder)

 (C3)

(Third Holder)

Note : * Service tax will be charged at prevailing rates on all DP services. \$ Actuals as charged by NSDL/CDSL.
Charges for DP services of NSDL/CDSL are subject to change. All Charges shall be paid upfront i.e. in advance.
Interest charges 1.5% per month is charged on all outstanding bills after one month from the date of bill.

No Account Maintenance Charges If No Transactions and No Holdings.

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

General Clause

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

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or 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.

 (C1)

Sole / First Holder
 (C2)

Second Holder
 (C3)

Third Holder

Manner of Closure of Demat account

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

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

 (C1)

Sole / First Holder

 (C2)

Second Holder

 (C3)

Third Holder

UNDERTAKING

Client Code :

Name :

S/o./W/o. :

Address :

To :

The Steel City Securities Ltd., (SCSL)

(Member : National Stock Exchange of India Ltd.

Bombay Stock Exchange Ltd.

Metropolitan Stock Exchange of India Ltd.

National Securities Clearing Corporation Ltd.

Indian Clearing Corporation Limited

Metropolitan Clearing Corporation of India Ltd.)

Visakhapatnam

Sir,

Sub : Execution of Buy/Sell orders of Securities/Derivatives/currency derivatives contract on NSEIL/BSEL and currency derivative of MSEI trading system and NSCCL/ICCL/MCCIL Clearing System.

I/We Buy/Sell Securities/Derivatives/currency derivatives contract in Stock markets /currency markets and hence request you to please execute the orders placed (oral/written) by me/us, with you as per the market practices and I/We consent / undertake as below; without any reservations whatsoever :

1. I/We may please be permitted to trade in securities/ Derivatives/currency derivatives segment with you and I/We shall follow and abide by all the rules, regulations and practices etc., of Securities / Derivatives /currency derivatives trading without any reservations whatsoever duly honouring the prompt obligations of payments, deliveries, rectifications, making good etc., without fail within the time limits and shall be liable and responsible for any consequences, whatsoever, because of my/our defaults/ delay in completing the prompt obligations to be made and herewith undertake to pay to you any loss or penalties levied etc., and extend my/our unequivocal, irrevocable and absolute willingness to pay the demand raised for payments or securities delivery etc., merely on demand.
2. I/We may be permitted to investing/trading in the securities / derivatives /currency derivatives segment admitted for dealing on the Exchange as defined in the Byelaws of the Exchange through **Internet Trading-Facility**. And upon my request the MEMBER (SCSL) has agreed to provide the said Internet Trading Facility subject to the terms and conditions contained in the Agreement. I/We fully aware that authentication technologies and strict security measures are required for the internet trading through order routed system and I undertakes to ensure that my self or my authorized representative will not revealed my password to any third party. I/We hereby agrees that the **SEBI/NSEIL/BSEIL/MSEI/SCSL** shall not be liable or responsible for non-execution of my/ our orders due to any link/system failure at the **CLIENT/MEMBERS/NSEIL/BSEIL/MSEI** end.
3. I/We fully understand that the trading in securities /Derivatives/currency derivatives goes on the basis of faith and trust and maintaining spirit of these values are of utmost necessity for me/us to participate in this trading and hence undertake to uphold these values although without any reservation whatsoever and I/We shall be liable to the fullest extent for breach of faith or breach of trust on my part, including that of all consequential effects my/our oral orders/instructions may please be treated as good for all purposes.
4. I/We herewith fully undertake to rectify and make good at our cost in case any delivery is found to be

 (C1)

Signature of the Client

- BAD for any reason at any later date or pay for the same or replace the same with a good delivery, immediately whenever the same is intimated (Oral/Written) to me/us and shall pay all the consequential costs, dues etc., and in case of failure to do so I/We undertake to be fully liable and pay all the costs, penalties, charges, consequential dues/ losses etc., immediately on intimation (Oral/Written).
5. I/We fully understand that the speed of time is essence for the trading/dealings in Stock Markets /currency markets and hence I/We will place all the orders for buying/selling/modification/cancellation etc., only orally or over telephone since time, even in seconds, cannot be lapsed while placing the orders and so request you to execute the orders accordingly and I/We hereby take full responsibility and liability for any discrepancy. Also I/We hereby fully agree and abide that any oral or telephonic intimation is sufficient to fulfill any of my/our obligations on my/our account, without any reservation whatsoever, duly waiving hereby the necessity of a written notice, since I/We understand that time will be very short while transacting on Stock Exchanges and every obligation must be completed within the cyclically fixed time schedules, without fail. Please accommodate us waiving placing of Written orders and accepting oral orders because it is my/our requirement/ necessity to trade effectively.
 6. I/We shall take full responsibility and shall abide by all the criminal and civil actions taken by you or by any other person or officials in case if I/We sell/ deliver any securities with forged/ manipulated documents or if I/We sell/deliver securities which do not belong to me/us nor entrusted to me/us. I understand that selling/delivering such securities with or without knowledge amounts to criminal-offense and I/We shall be liable to the fullest extent.
 7. I/We take up the fullest liability without any reservations whatsoever, to complete all the obligations, pay the amounts and all the assets, present or future savings, Bank accounts etc., belonging to me/us or of the heirs can be seized or attached in case of my/our failure to pay the amounts.
 8. My/our client code number shall be _____ and the same shall be used on all statements, documents, correspondence etc., or as per the subsequent change in the code number, if any.
 9. I/We shall pay and maintain with you the necessary Security Deposits and margin amounts as demanded (Oral/Written) by you from time to time or as per the demands raised by NSEIL/BSEL/ MSEI/NSCCL/ICCL/MCCIL from time to time.
 10. I/We shall pay the accrued loss/jobbing loss in daily basis or on mid trading session basis or whenever demanded (Oral/Written) due to my/our trading operations and in case of failure I/ We shall pay the penalties, charges, consequential losses etc.,
 11. In case of my/our failure to pay the jobbing loss as above or if my/our trading positions warrants, you may at your liberty and discretion can squareup my/our trading positions in any or all securities / derivatives / currency derivatives and I/We undertake to pay you the losses if any, merely on demand (Oral/Written) even if the same exceeds my/our margins already deposited without any reservations whatsoever. I/We shall make good all the losses irrespective of the Security Deposit or margin amount maintained, without any limitations, whatsoever.
 12. All the acts done or committed by my/our Assistants/Employees on my/our behalf while placing orders or delivering securities shall be treated as acts done by me/us and I/We herewith undertake to take responsibility and liability of the same without any reservations whatsoever.
 13. I/We shall abide, honour and follow all the rules, regulations formulated by you from time to time, when you permit me/us to trade on the NSEIL/ BSEL/MSEI trading system.
 14. I/We shall conduct trading on the NSEIL/BSEL/ MSEI trading system prudently and shall ensure that it will not be prejudicial or detrimental to other participants or public in general and to Steel City Securities Ltd., in particular.
 15. The SCSL or the NSEIL/BSEL/MSEI or the NSCCL/ICCL/MCCIL is entitled to revise the rules, regulations, procedures, limitations, charges etc., and I/We agree to be unconditionally bound by the same.
 16. SCSL/NSEIL/BSEL/MSEI/NSCCL/ICCL/MCCIL shall not be held responsible or liable for any failure of computer systems, telecommunications network and other equipment installed for the trading system anywhere and I/We shall accept the confirmations as issued by the NSEIL/BSEL/MSEI/ NSCCL/ICCL/MCCIL.
 17. I/We shall execute, sign, subscribe to such other documents, papers, agreements etc., as may be required or prescribed by SCSL/NSEIL/BSEL/ MSEI/NSCCL/ICCL/MCCIL .

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Signature of the Client

18. Hereby I/We authorise you to debit or credit my/our account or accounts, without any further consent or notice, as and when necessary with the necessary entries relating to your transactions/obligations etc.,
19. I/We hereby waive the requirement of sending us a notice or informing us by a notice about any of my/our liability, default, delivery etc., since I/we understand and fully aware that all operations, transactions and the consequent actions are to be completed in matter of few seconds, minutes or hours and it is our duty to be aware of our liability from time to time every minute or hour by being present at the trading place by our ownself or through our Authorised Assistants.
20. I/We am/are interested in dealing in stock markets /currency markets and hence will be buying/selling securities /Derivatives / currency derivatives contract regularly as per my/our own choice as per market conditions and as per my/our own expectations & requirement and while dealing/ transacting so through you, my/our require certain convenience & facilities for my/our smooth trouble free working/transacting/operation. Therefore for the sake of my/our own convenience as per my/our requirement, please execute the following standing instructions from my/our side to you.
 1. Please execute our/my oral instructions over phone or in person for retaining or transfer of funds/ securities From/To of our account with you.
 2. Please retain the funds/securities, Pay-outs due to us/ me as margins with you, for the sake of my/ our trading operation in securities/ Derivatives / currency derivatives segment through you. And also authorized to utilise such funds/securities, pay-outs due to us/me for deposit of collateral with Exchange/Clearing Corporation/Clearing House towards margin.
3. Whenever we/I require these funds / securities from you, we/I will intimate the same to you and till then you may retain them with you and allow us/me commensurate exposures while transacting.
4. Whenever we/I buy or sell securities / derivatives / currency derivatives contract the funds / securities may please be adjusted for Pay-In, out of these retained credits with you.
5. In case if we/I fail to complete our/my Pay-In of Funds/Securities and margins obligations at any time, we/I hereby fully authorise you to sell the securities / derivatives / currency derivatives contract retained by you at the market Price of the day to realise your dues from us/me at your full discretion and we/I shall not have any complaint/ claim on you in this regard and we/I will complete the balance Pay-In (Funds/Securities) obligations if any that may arise out of all our/my transactions & their consequences in full.
21. If any difference/dispute shall arise between us regarding as to the transactions, rights, liabilities etc., the same shall be resolved by an Arbitration mechanism according to the Exchange Bye Laws.
22. I/We fully understand and shall be binding ourselves to all the procedures of clearing and settlement systems of NSEIL/BSEL/MSEI/ NSCCL/ICCL/MCCIL and abide by the same to meet all the requirements promptly and prudently.

Herewith I/We subscribe our signatures and execute this undertaking at _____
 on this _____ day of _____ month of the year 20_____.

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Signature of the Client

Signature of two Witnesses

Name & Address	Signature
1.	
2.	

SPECIAL POWER OF ATTORNEY

KNOW ALL MEN BY THESE PRESENTS THAT I / WE _____
 and _____
 S/o, D/o, W/o _____
 Nationality Indian, residing at _____
 _____ or We
 M/s _____
 is a Proprietary concern/Partnership Firm/a Body Corporate/HUF
 and with its Office at _____

being represented by its Proprietor/Managing Partner/Managing
 Director/Karta, Mr./Mrs./M/s. _____
 S/o, W/o, D/o _____

TO ALL TO WHOM THESE PRESENTS SHALL COME I/We am /
 are Individual/Sole Proprietary Concern / Partnership firm/a Body
 Corporate/HUF, (herein after referred to as Client) which expressions
 shall include, heirs, executors, administrators and legal
 representatives/its successors do hereby solemnly and sincerely
 affirm on oath, agree and abide as follows:

WHEREAS:

- a) Steel City Securities Limited is a trading member of NSE(CM), NSE(F&O),NSE(CDS), BSE(CM), BSE(F&O), MSEI(CM), MSEI(F&O) and MSEI(CDS) offering on-line and/or off-line trading facilities to its clients in Capital Market and Futures & Option Segment with SEBI Registration Nos. **(INB 230806132, INF 230806132, INE 230806132, INB 010806132, INF 011156438, INE 260806132 , INB 260806132 and INF 260806132)** having Registered & Head Office at 49-52-5/4, Shantipuram, Visakhapatnam-530016, (hereinafter referred to “SCSL – Member”) and also a Depository Participant of NSDL (IN302324) and CDSL (12022300) (hereinafter referred to as SCSL – DP)
- b) Whereas sometimes I/We fail to issue delivery instructions for the securities sold by me/us through the Member where I/We was/ Were required to deliver the securities within schedule time to meet my/our pay-in obligation. Therefore for my/our own convenience, I/We, have decided to appoint my/our ‘SCSL – Member’, to be my/our true and lawful attorney to do and execute the following acts and deeds on my behalf and which the said Attorney has agreed to do.
- c) I/We, desire to invest and/or trade in shares, bonds, debentures and other securities, whether listed or unlisted, including units of mutual funds, Government Securities, certificate of deposits, commercial papers, money market instruments (hereinafter referred to as the “Securities”) and/or apply for IPOs /Public offers and follow up offers of various companies
- d) For the purpose of holding securities purchased / investments were made, I / We have opened a depository account bearing Client ID No. _____ (hereinafter referred to as the “**designated demat Account**”) with SCSL-DP;

- e) I / We / _____, _____ the first holder / second holder of the above mentioned depository account have / has also entered into Member – Constituent Agreement (hereinafter referred to as the “**the Agreement**” as amended and in force from time to time) with SCSL - Member and have opened a trading account bearing number _____ with SCSL – Member (hereinafter referred to as the “**client account**”)
- f) In accordance with terms and conditions mentioned in the agreement and other documents signed by me, I / We have confirmed to SCSL – Member that the designated demat account shall be utilized for the purpose of pay-in / pay out of securities against trades done in the client account and for the purpose of receiving securities allotted in IPOs, rights offers, NFOs, etc applied through SCSL in the client account. I/ We have also confirmed to SCSL – Member that securities held in the designated demat account can also be transferred/ pledged/ hypothecated/ blocked or used otherwise for the purpose of meeting my/ our upfront, maintenance, mark-to-market loss and other margin obligations.
- g) For the purpose of availing the above mentioned facilities as well to facilitate proper execution, settlement and completion of all trade transactions in securities made by SCSL - Member on my / our behalf, I / We individual / joint account holders, hereby appoint SCSL – Member as my / our attorney and confer upon SCSL – Member the powers hereafter stated.

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

1. To sign the delivery instruction slips and to transfer securities available in the electronic form in my / our demat account, on my / our behalf, in order to meet my/our settlement and margin obligations for the transactions done in my/our Trading account.
2. To block, hold, debit and/or create pledge, lien, hypothecation on securities available in my / our demat account on my/our behalf, in its own favour or in favour of a Clearing House/ Clearing Corporation / Exchange and / or any other entity to meet my settlement and / or margin obligations.
3. To give instructions for issuing fresh delivery instructions slips and receive the same on my / our behalf, as and when required.

 (C1)

Sole / First Holder

 (C2)

Second Holder

4. To debit and pay / transfer the necessary charges, from the credit balances available in my / our Client account with SCSL – Member towards payment of various charges, account maintenance fees, etc. payable by me / us to SCSL DP pertaining to transactions done, postage, and maintenance of my / our designated demat account.
5. To transfer necessary quantity of shares from my / our designated demat account, on my / our behalf, to any of the following demat account(s) of SCSL – Member for meeting any payin / margin requirement in respect of transactions executed by me / us through my/our client Trading account with SCSL – Member, such as DP ACCOUNTS : NSE CMBPID IN559193 and Client ID 10000074 with DP ID IN302324 and CM Account Number 1202230000000010 in DP ID 22300 and NSCCL CM account for Mutual funds IN565576 in DP ID IN001002 and BSE CMBPID IN604568 and Client ID 10010999 with DP ID IN302324 CM Account Number 12022300000000221 in DP ID 22300 and MSEI CMBPID IN471724 and Client ID 11143584 with DP ID IN302324 and CM Account Number 1202230000094235 in DP ID 22300 opened and maintained with SCSL DP or any other such depository account opened by SCSL – Member for this purpose from time to time. In case of any change in these account numbers, SCSL – Member is authorized to transfer the securities to the new account numbers.
6. To transfer securities received as payout from the Exchanges from the demat accounts of SCSL – Member mentioned in para 5 above, to my / our designated demat account, against transactions done in my / our client account. In case of any change in these account numbers, SCSL – Member is authorized to transfer the securities to the new account numbers.
7. To apply in IPOs / NFOs / Public offers / follow up public offer of various companies and mutual funds and apply for additional units in various Mutual fund schemes, on my / our behalf, as per my / our consent, each time through the internet facility offered by SCSL – Member. Further, SCSL – Member is authorized to apply the said issues of companies or mutual fund schemes by signing the relevant forms and other relevant documents as may be required for this purpose, on my/our behalf.
8. To debit my / our client account with an equivalent amount required for applying in the IPO / Mutual Fund schemes and ensure that the payment is made in the name of the issuer company / mutual fund through pay order/ demand draft issued in their favour or through any other alternate mode, on my/our behalf with the application form against my / our instructions given through the internet trading facility or any other mode offered by SCSL – Member.
9. To return the securities or funds that SCSL – Member might receive erroneously or those SCSL – Member was not entitled to receive, to my / our designated demat / bank account.
10. In case of death, disability, insolvency, winding up or liquidation of any one or more of us or of the joint holder/s and the surviving joint holders and heirs, nominees, executors, administrators, successors and legal representatives of the account holder who has died, disabled, dissolved, been adjudged insolvent, wound up or liquidated shall forthwith inform the Attorney and the SCSL – DP of the same in writing. In such an event, the Power of Attorney and the instructions contained herein shall be revoked forthwith.
11. Further, SCSL – Member is authorized to send consolidated summary of scrip-wise positions of securities bought and sold taken with average rates by way of SMS / email on a daily basis to my / our Mobile Number / email address registered with Member initially and changed from time to time as per my / our request.
12. The Power of Attorney with authority and powers as stated herein has been given for the specific purpose of the above mentioned services and can be revoked without prior notice but under intimation to SCSL – Member subject to my / our fulfilling of the Margin / Settlement and /or other obligation for the transactions undertaken in my/ our client account with SCSL – Member.

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

IN WITNESS WHERE OF I / We, hereunto set and subscribe my / our hands and signed at on this _____ day of _____ 20_____.


 Sole / First Holder


 Second Holder

Signed and delivered by the Client

Mr. / Mrs. / M/s. _____

SPECIMEN SIGNATURE OF POA HOLDER
 On Behalf of STEEL CITY SECURITIES LTD.
 Mr./ Mrs. Name : **M. MURALI**

Sign :


 Sole / First Holder


 Second Holder

Signature of the Client

In the Witnesses of :-

Name	Address	Signature
1.		
2.		

RUNNING ACCOUNT AUTHORIZATION

To
Steel City Securities Ltd., 49-52-5/4, Shanthipuram, Visakhapatnam - 530016.

Date :.....

Dear Sir,

1. Maintenance of our/my account on a running account basis.

Notwithstanding anything contrary contained in the agreement between us. I/we hereby request you to maintain my/our account of both securities and funds, with you on a running account basis. This will facilitate me/us in my/our transactions through you. I/we also request you to consider the balances in my/our running fund and securities account with you for the purpose of margins/ any other obligations due to you. In view of the above it would be proper for you to release the funds and securities due to me/us on my/our specific request, either written or oral. You may charge the cost of holding securities to my/our account with you.

2. Authority for adjustments in different segments/ exchanges Notwithstanding anything contrary contained in the agreement between us. I/we hereby inform you that I/We have also executed/are to execute, an agreement with Steel city securities ltd., for trading on the NSE/BSE/MSEI (CASH & FAO segment) and Steel city securities ltd., for trading on the MSEI and steel city commodities (p) ltd for trading in MCX & NCDEX exchanges. I/we hereby request to treat the agreement between you and me/us and the agreement entered/to be entered by me/us, with the aforesaid companies as co-extensive and i/we hereby authorize you to transfer make adjustments and/or to set off a part or whole of the securities placed as margin and/or an surplus funds in any of my accounts(s) maintained with you against the outstanding dues payable if an, by me/us in any of my/our account(s) maintained with any of the aforesaid companies or vice versa. You and/or any of the aforesaid companies shall have right to pledge on the credit balance in any of my/our accounts irrespective of whether it is maintained with you or with any of the aforesaid companies and any entries passed by you in accordance with this authorization shall be binding on me/us.

3. I/ we declare that settlement of funds and securities at least once in a calendar quarter (or) month. Client may revoke the running account authorization at any time.

4. I/We hereby request you that while settlement of funds and securities you may retain an amount of up to Rs.10000/-(net amount across segment and across stock exchanges) on a running account basis.

Thanking

Yours faithfully

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Signature of Client

(In case of Non-Individual attest with the company seal)

STANDING INSTRUCTION

To
Steel City Securities Ltd.
 49-52-5/4, Shanthipuram, Visakhapatnam - 530016.

Dear Sir,

Sub : Payment of due DP & Online Trading Charges - Reg. - Standing Instructions -Reg.

I/We am/are having the following Demat & Trading Accounts with you.

Client Code	<input type="text"/>																		
In NSDL -	I	N	3	0	2	3	2	4											
In CDSL -	1	2	0	2	2	3	0	0											

Hereby I/We request you to please debit the DP charges for Annual Maintenance, transactions, demat/remat, Courier etc., of my our Demat account to my/our trading account with you and credit the same will be paid by me/us as per the schedule within time.

Further, I/We have availing Internet trading under Scheme – I(In case of Internet trading facility through ODIN-DIET), ie., (No software cost and minimum brokerage should generate Rs.250/- PM for every segment), under which I/We agree to generate minimum gross brokerage of Rs.250/- per month of every segment. If ensured Brokerage is less than Rs.250/-, the balance amount will be debited to the extent of actual licence cost Rs.3500/-.

I/We am/are requesting you for the above because this will be more convenient to me/us for paying the charges and so in my our own interest only.

Please do the above favour positively.

Thanking you,

Yours sincerely,

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Signature of the Client

SMS / E-MAIL ALERT REGISTRATION FORM

To
Steel City Securities Ltd.
 49-52-5/4, Shanthipuram, Visakhapatnam-530016.

Dear Sir/ Madam,

Subject: Registration for availing SMS & E-mail alert facility

I/We _____ am/are desirous of availing the alert facility(ies) offered by stock exchanges in accordance with SEBI circular dated August 2, 2011 (reference no. CIR/MIRSD/15/2011), in respect of my trading account number _____ with Steel City Securities Ltd., (SCSL)

I/We provide the following information for the purpose of registration for availing SMS & E-mail alert facility offered by stock exchanges

Preferred mode of receiving alert : SMS alert Email alert Both SMS & E-mail alert

Mobile number (mandatory) : _____

E-mail ID : _____

In case of non-individual clients please also provide the following additional information of the person in respect of whom the above details have been provided

Name : _____

Designation : _____

In case of individual clients where the Mobile number / E-mail id provided above does not pertain to the account holder, please provide the following additional information of the person whose Mobile number/E-mail id has been indicated above for this facility.

Name of the Relative : _____

Relationship with client : Dependent Parent Dependent Child Dependent Spouse

PAN of Relative : _____

I/We hereby confirm that above mentioned details provided by me/us true & correct. I/We authorized SCSL for submission/ uploading above details to the stock exchanges.

I/We undertake to promptly notify SCSL of any change in the aforesaid information and I/we understand that I/we shall have to re-register for this facility if I/we change my/our mobile number and/or email id.

I/We understand the exchange will activate the above mentioned facility only on completion of necessary validation by the stock exchanges by obtaining my/our confirmation to commence this facility at their end with me/us.

I/We hereby confirm that SCSL and any its associates/affiliates shall have no liability to me/us whether in contract, tort or otherwise for any direct, indirect or consequential loss or damage which may be suffered by me/us in connection with the e-mail/SMS alert facility referred under this letter.

Thanking You,

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Signature of the Client

Annexure 3
MUTUAL FUND SERVICE SYSTEM FACILITY

To
Steel City Securities Ltd.,
D.No.49-52-5/4, Shanthipuram, Visakhapatnam - 530 016

Date : _____

Sir,

Sub : Mutual Fund Service System (MFSS) facility

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd.

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 24.11.2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

Thanking you,

Yours faithfully,

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Signature of the Client

DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW MFSS FACILITY

1. Pre-requisites for becoming Investor / Client for the New MFSS facility.
 - 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
 - 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
 - 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
 - 1.4. The Client has approached to the Participant with the application for availing the New MFSS facility.
 - 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants.
2. Terms and Conditions
 - 2.1. The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
 - 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
 - 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
 - 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
 - 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
 - 2.6. The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
 - 2.7. The client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
 - 2.8. The client will 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 him or if any litigation which may have material bearing on his capacity has been filed against him.
 - 2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
 - 2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

PART - B**Documents Forming Part and Parcel of KYC Kit**

- | | | |
|----------------------------|----------------------------------|---------------------------------|
| > Rights and Obligations | > Guidance Note -Do's and Dont's | > Instructions / Check List |
| > Risk Disclosure Document | > PMLA Information | > Operational Business Policies |

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

1. The client shall invest/trade in those securities/contracts/ other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

TRANSACTIONS AND SETTLEMENTS**CLIENT INFORMATION**

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms&conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
13. The client shall give any order for buy or sell of a security/ derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.



Signature of the Client

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSEOUT OF POSITION

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

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the

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Signature of the Client

- interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
 32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
 33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
 34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
 35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
 36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

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

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and

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Signature of the Client

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

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

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

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

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Signature of the Client

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No

consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads :

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

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1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of “Leverage” or “Gearing”:

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

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

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

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C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

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

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

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

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

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

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

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

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

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges website www.bseindia.com / www.nseindia.com / www.msei.in and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI /Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.

TRANSACTIONS AND SETTLEMENTS

7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI / Exchanges in this regard.
8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank / demat account such money or securities deposited and from which bank/demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/ securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

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

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Information on Prevention of Money Laundering Act 2002 (PMLA)

- Due to the tightened security and increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge our duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain in certain transaction, even if unknowingly or ignorantly, may land us in trouble.
 - There is an Act called **Prevention of Money Laundering Act 2002. (PMLA)**
 - The purpose of this act is to prevent the financing of terrorism and to prevent laundering of money i.e. to legalize or officialize or canalise the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes.
 - This act is a part of the Global measures being taken by all the countries under the initiatives of UN agencies.
 - It is applicable to all SEBI Registered brokers/sub-brokers and other financial institution who are dealing in any kind of financial assets.
 - It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them to FINANCIAL INTELLIGENCE UNIT, a department specially set up to administer this Act under the Ministry of Finance.
 - The transactions which are supposed to be reported are cash transactions above rupees ten lakhs or series of cash transactions below ten lakhs but aggregating to above ten lakhs in a month or its equivalent in any foreign currency and the transactions which may not be in cash but suspicious in nature.
 - Any such above types of transaction, though not executed but attempted and failed are also required to be reported.
 - The suspicious transaction can be related to the transaction under the circumstances such as;
 - Clients whose identity verification seems difficult or clients that appear not to co-operate
 - Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing /business activity;
 - Clients based in high risk jurisdictions;
 - Substantial increases in business without apparent cause;
 - Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
 - Attempted transfer of investment proceeds to apparently unrelated third parties;
 - Businesses undertaken by offshore banks/financial services,
 - Businesses reported to be in the nature of export/import of small items.
 - Unusual transactions by Clients of Special Categories (CSCs).
 - Clients of Special Categories may include;
 - NRI/HNI/Trust/Charities/NGO/Organizations receiving donations
 - Companies having close family shareholdings or beneficial ownership
 - Politically Exposed Persons
 - Companies offering foreign exchange offerings
 - Clients in high risk countries
 - Non face to face clients
 - Clients with dubious reputation as per public information available
 - No trading or demat account can be opened in the name of entity whose name is listed on the banned entity list being maintained at United Nation's website at <http://www.un.org/sc/committees/1267/consolist.shtml>.
 - While opening the new accounts all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under this act.
 - All the records of transactions and client identifications must be preserved in a manner which can be promptly retrieved and reported to the authorities in the specified format.
 - This is the highlights of the requirements under the Act. Subbrokers / Authorised Persons / Remissers are advised to go through the SEBI's master circular at <http://www.sebi.gov.in/circulars/2010/mastercircularMasterCircular.pdf> for detailed information and understanding and also to visit the website of FIU-IND at <http://fiuindia.gov.in>
 - The end clients are advised to co-operate with us by providing the additional information / documents, if asked for during the course of your dealings with us to ensure the compliance requirements under this Act.
 - As a responsible citizen, it is our statutory as well as moral duty to be vigilant and to refrain from temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering our freedom and causing damage to the nation and to us as well.
- For any further clarifications or information on the subject, principal Officer may be contacted.

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INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM**IMPORTANT POINTS :**

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC(Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
12. Fields marked with '*' are mandatory fields.
13. Tick '✓' wherever applicable.
14. Self-Certification of documents is mandatory.
15. Please fill the form in English and in BLOCK Letters.
16. Please fill all dates in DD-MM-YYYY format.
17. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively, list of which is available at the end.
18. KYC number of applicant is mandatory for updation of KYC details.
19. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
20. In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

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

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

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

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
5. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
6. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 3(S).

Document Code Description

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook — Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.
9. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
10. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
11. In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 4.1.

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

E. 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.

F. 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.

G. Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

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

H. Clarification / Guidelines on filling 'Contact details' section

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

I. Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

J. Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section

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

K. 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.

ADDITIONAL DOCUMENTS

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

Copy of ITR Acknowledgement

In case of salary income - Salary Slip, Copy of Form 16

Copy of demat account holding statement.

Any other relevant documents substantiating ownership of assets.

Copy of Annual Accounts

Net worth certificate

Bank account statement for last 6 months

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.

Board Resolution of (head) naming the persons authorized to deal in securities on behalf of company/ and their specimen

OPERATIONAL BUSINESS POLICIES

Dealing in Penny Stocks

In regular practice we do not allow/encourage trading in penny stocks of any Exchange/Segment. And the same has been monitored on a regular basis for tracing such transactions. The same will also be applied in transacting for illiquidity stocks. For the good intention of the client investment plans and based on his present and past transaction history, client may be allowed to transact in penny stocks to the extent of limited quantities as per the guidelines of SEBI/Exchange/SCSL.

Allocation of Client's Exposure Limits

As per our business rule, the exposure limits have been categorized based on the client's financial potentiality, past business relationship, business attitude, meeting the in time funds obligation, maintaining sufficient margins and not indulging in any un-ethical dealings. Ten times of Exposure is allowed for those are maintaining the minimum margin and 15 times of Exposure is allowed for margin more than 5 lacs either cash or collateral in Capital Market (segment wise). In derivative segment, Exposure will be maintained as per the Exchange SPAN margin. The Exposure Limits can be changed as per the market volatility and any unforeseen market conditions.

Specification of Brokerage Schemes

We are offering very competitive brokerage rate to encourage all levels of Clients/Investors to maintain their business portfolios and to retain everlasting business relationship. Brokerage is being offered as per the volumes and Continuity of the business transaction with us. We do not include any heads of account nor any Misc. charges under this Brokerage scheme. All other statutory costs will be charged as per Exchange/SEBI/Government law and Jurisdictions.

Interest on delayed pay-in obligation

"We will charge interest from those clients whose pay-in dues are not paid as per the Exchange clearing and settlement cycles. The interest will be charged @20% per annum, calculated on a daily basis on the outstanding pay-in obligation". The interest cycle will be continued till 30 days. The interest charges and time period will be modified as per the prevailing market conditions. In Future and Options segment penalties will be as per the Exchange guidelines.

Auto Square-off

This mechanism is to control the risk as per the prevailing market conditions. All the rules applied under this mechanism are as per our business policies. In this module we have Timer based and MTM based trigger system, where orders have been executed accordingly. At any point of time set parameters can be modified before matching the trigger. The main motive of this mechanism is to save client from the default and also to minimize the risk during the intra-day volatility. This is to avoid Insufficient cash or collateral margin requirement.

Shortage of Securities

If the client short delivery is identified as an internal shortage, we will purchase the securities from the exchange at market rate and the shares are transferred to the client's account. Internal shortage charges at 1% on value will be debited from default client account and credited to beneficial client account. In case the securities are not bought in the normal market (if there are no sellers even in the market) they are deemed to closed-out at the highest price between the first day of the trading period till the day of squaring off or 20% greater than the official close price on the close out-day, whichever is higher. This amount is credited to the receiving client's account and charged to the default client.

Exposure Limit Exceeded

In the event of Exposure limit reaches 100%, automatically RMS will not accept any single order until client pays the required margins. All existing positions will be closed as per market conditions and to protect from the unexpected financial risk and to ensure the clients business growth.

Client Account Suspension/Close

To the convenience of client while operating his account, Client may request in writing for temporary suspension or permanent closing or discontinuation as a client due to his personal reasons. Suspension/Closure of client accounts is also being done as per direction of the regulatory bodies.

Dealing with in-operated accounts for more than 180 days has to be marked as "DORMANT". These accounts are viewed carefully to avoid unauthorized transactions. The account holder wanted to bring in live after 180 days or so, he/she has to submit the mandatory information to re check / verify the master details of the existing records. After through verification of master details and approval from the concerned dept. manager / head, the account can be put in live and transaction can be resumed.

Statement of Account

As per SEBI/Exchange guidelines, the quarterly-ending statement of Funds and Securities being dispatched to every client for their reconciliation and confirmation of successful transactions. The statement will have a track of all debit and credit entries being posted from the funds and securities ledger for the period ended. In the event of any discrepancy found in the statement, client should inform us within 7 working days from the date of receipt.

Error Code

We maintain accuracy while placing orders of all Exchanges/Segments through NEAT and CTCL trading terminals. Human errors are inevitable on rare occasions, but all these erroneous codes are being committed due to typographical mistakes. The transactions executed other than actual code will be transferred to Error-code through Exchange on-line trade modification window during the market hours and corresponding quantity will be squared-off on behalf of actual code before market closes for the day.

Based on the net position of these transactions, the profit or loss will be settled between error-code and the actual code. In case the mistake is being committed by the operator himself or herself, corresponding quantity will be squared-off by the Member with anticipation of profit or loss.

As per the functional operations of the trading terminal, there will be a scope of happening above instances in NEAT only, but whereas CTCL trading terminal are much controlled while validating and processing the orders before execution.

The history of the above instances is being maintained in soft and hard copies for the future verifications during the audit trail.

Retaining period of Funds and Securities as per SCSL business rules while settling the funds and securities during the quarter for inactive clients

With respect to SEBI and Exchange guidelines and SCSL management committee directions, the retaining period of funds and securities being followed as per the below validations till further modification of SCSL business rules:

- In view of the business continuity and to ensure the sincere service front to our esteemed clients/investors, SCSL has decided to retain the funds upto Rs.500/- which will be settled in the ensuing quarter by sending an account payee cheque to the client's address as declared in the KYC document. In case the cheque gets returned, his account will be freeze by the SCSL.

There may be valid reasons for funds to freeze the account:

- Client is not traceable as per KYC details submitted
- Cheque delivered but not presented in the bank (within validity period of three months)
- Account is closed.
- Rejection of online transactions through NEFT/RTGS.

There may be valid reasons for securities to freeze the account:

- DEMAT account is closed
- DEMAT account is suspended due to non-submission of PAN details
- DEMAT account is suspended due to transmission
- ISIN is suspended

Funds retaining less than or equals to Rs.500/-

- SCSL is retaining funds <=Rs.500 towards recovery of any unpaid AMC charges, Transaction charges, DEMAT charges etc. for both active and inactive clients.
- SCSL will not retain funds or securities without any intention other than mandatory recoveries.



Signature of the Client



