



PESB
Your trust is our capital

Pune e Stock Broking Pvt. Ltd.

Regd. Office

1198 Shukrawar Peth Subhashnagar Lane No. 3 Pune 411 002

Tel: +91 20 41000600 Fax: +91 20 24498100 www.pesb.co.in

Member : BSE, NSE

SEBI Regn. No. : INB 011289239 / INF 011289239

**SEBI Regn. No. : INB 231289233 / INF 231289233
: CDS INE 231289233**

Depository Participant : CDSL

DP ID : 12058100

SEBI Reg. No. : IN-DP-CDSL-481-2008

Client Registration Form

☐ Individual ☐ HUF ☐ Non-Individual
☐ NRI ☐ Foreign National

Form No.:

Client Name : _____

Client Code No. :

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Client ID :

1	2	0	5	8	1	0	0								
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Ref. : _____

Received By

Checked By

Authorised By

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS :

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

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

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

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

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

7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents :

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

ADDITIONAL INFORMATION

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

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

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

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

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

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

*** Cancelled Cheque Mandatory**

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		B.Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	3 - 4
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4	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.)	8 - 13
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Regd. Office / Correspondence Office

1198 Shukrawar Peth, Subhashnagar Lane No. 3, Pune - 411 002.

Tel.: +91 20 41000600 Fax: +91 20 24498100, info@pesb.co.in, www.pesb.co.in

● **SEBI Registration No. and date :**

- 1)BSE : INB 011289239 - 17th Dec.2007 - Capital Market Segment
INF 011289239 - 28th Feb.2008 - FO Segment
- 2)NSE : INB 23128933 - 18 th Dec.2007 - Capital Market Segment
INF 231289233 - 25 th Aug.2008 - FO Segment
INE 231289233 - 25 th Aug.2008 - CDS Segment
- 3)MCX-SX : INE 261289233 - 29 th Sep.2008 - CDS Segment

- **Compliance officer name :** Jatin Gandhi
Phone no. : +9120 41000654, email id : jatin@pesb.co.in

- **CEO name :** Jatin Gandhi
Phone no. : +9120 41000654, email id : jatin@pesb.co.in

For any grievance/dispute please contact stock broker (name) at the above address or email id-jatin@pesb.co.in and Phone no. +9120 - 41000654 In case not satisfied with the response, please contact the concerned exchange(s) details is as follows :-

1)BSE : is@bseindia.com & Phone No. : +9122 - 22728097

2)NSE : ignse@nse.co.in & Phone No. : +9122 - 26598190

KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in ENGLISH and in BLOCK LETTERS.

For Individuals / HUF

PHOTOGRAPH

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

A. IDENTITY DETAILS

- Name of the Applicant:** _____
Last Name First Name Middle Name
- Father's / Spouse Name:** _____
Last Name First Name Middle Name
- a. Gender:** Male ☐ Female ☐ **b. Marital status:** Single ☐ Married ☐ **c. Date of birth:** _____ (dd/mm/yyyy)
- a. Nationality:** _____ **b. Status:** Resident Individual ☐ Non Resident ☐ Foreign National ☐
- a. PAN:** **b. Unique Identification Number (UID)/ Aadhaar, if any:** _____
- Specify the proof of identity submitted: _____

B. ADDRESS DETAILS

- Address for correspondence:** _____

City/town/village: _____ Pin Code: _____
State: _____ Country: _____
- Contact Details:** Tel. (Off.): _____ Tel. (Res.): _____ Fax: _____
Mobile No.: _____ Email id: _____
- Specify the proof of address submitted for correspondence address:** _____
- Permanent Address** (If different from above or overseas address, mandatory for Non-Resident Applicant): _____

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

C. OTHER DETAILS

- Gross Annual Income Details (please specify):** Income Range per annum:
Below Rs 1 Lac ☐ 1 to 5 Lac ☐ 5 to 10 Lac ☐ 10 to 25 Lac ☐ above 25 Lacs ☐
Net-worth as on (date)..... (Rs.) (Net worth should not be older than 1 year)
- Occupation (Please tick any one and give brief details):** Private Sector ☐ Public Sector ☐ Government Service Business ☐
Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others ☐
Brief Details _____
- Please tick, if applicable:** Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐
- Any other information: _____

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.

Client Signature :  _____

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received

☐ (Self-Attested) Self Certified Document copies received

For Pune e Stock Broking Pvt.Ltd.

Authorised Signatory
(Attest With Seal)

Date

KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in ENGLISH and in BLOCK LETTERS.

For Non - Individuals

PHOTOGRAPH

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

A. IDENTITY DETAILS

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

B. ADDRESS DETAILS

1. Address for correspondence : _____

City/town/village: _____ Pin Code : _____
State: _____ Country: _____
2. Contact Details : Tel. (Off.): _____ Tel. (Res.): _____ Fax: _____
Mobile No.: _____ Email id : _____
3. Specify the proof of address submitted for correspondence address: _____
4. Permanent Address (If different from above or overseas address, mandatory for Non-Resident Applicant): _____

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

C. OTHER DETAILS

1. Gross Annual Income Details (please specify): Income Range per annum:
Below Rs 1 Lac ☐ 1 to 5 Lac ☐ 5 to 10 Lac ☐ 10 to 25 Lac ☐ 25 Lacs to 1 crore ☐ above 1 crore ☐
2. Net-worth as on (date)..... (dd/mm/yyyy) _____ (*Net worth should not be older than 1 year)
3. Name, PAN, residential address and photographs of Promoters ☐ Partners ☐ Trustees ☐ whole time directors ☐
4. DIN/UID of Promoters/Partners and whole time directors : _____
5. Please tick, if applicable, for any of your authorized signatories ☐ Promoters ☐ Partners ☐ Trustees ☐
whole time directors ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐
6. Any other information : _____

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my 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/we may be held liable for it.

Client Signature :  _____

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

☐ (Originals verified) True copies of documents received

☐ (Self-Attested) Self Certified Document copies received
For Pune e Stock Broking Pvt.Ltd.

Authorised Signatory
(Attest With Seal)

Date

TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-Individuals

A. BANK ACCOUNT(S) DETAILS

1) Bank Name : _____

Branch Address : _____

Bank account no. _____:

Account Type : Saving ☐ Current ☐ NRI ☐ NRE ☐ NRO ☐ OTHERS ☐

MICR No.

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[illegible]

2) Bank Name : _____

Branch Address : _____

Bank account no. _____;

Account Type : Saving ☐ Current ☐ NRI ☐ NRE ☐ NRO ☐ OTHERS ☐

MICR No.

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[illegible]

B. DEPOSITORY ACCOUNT(S) DETAILS

[illegible]

C. TRADING PREFERENCES

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

NSE (Capital Market)	NSE (Futures & Options)	NSE (Currency Derivative)
Client Sign 	Client Sign 	Client Sign 
BSE (Capital Market)	BSE (Derivatives)	MCX-SX (Currency Derivative)
Client Sign 	Client Sign 	Client Sign 
BSE (Star MF)	NSE (MFSS)	
Client Sign 	Client Sign 	

Note : Client will be able to trade only on those segment which are active with the Trading Member from time to time. Please refer to www.pesb.co.in for further information.

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

D. PAST ACTIONS

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

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name:

Registered office address :

SEBI Registration number : BSE : NSE :

Phone : Fax : Website :

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

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

Client Code : Exchange :

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

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Specify your Email id, if applicable :

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

- Numbers of years of Investment/Trading Experience :

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

- Any other information :

G. INTRODUCER DETAILS (optional)

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

Status of the Introducer : (Sub-broker/Remisier/Authorized Person/Existing Client/Others, Please specify).....

Address of the Introducer :

City : Pincode : State : Country :

Phone no. : **Signature of the Introducer** :

H. NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate

☐ I/We do not wish to nominate

Name of the Nominee : Relationship with the Nominee :

Address of the Nominee :

City : Pincode : State : Country :

Phone no. : PAN of Nominee :

--	--	--	--	--	--	--	--	--	--

 Date of Birth of Nominee :

If Nominee is a minor, details of guardian :

Name of guardian :

Address of Guardian :

City : Pincode : State : Country :

Phone no. : **Signature of the Guardian** :

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

Name Name

Address Address

Signature Signature

DECLARATION

- 1 I/We hereby declare that the details furnished above are true and correct to the best of my 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 /we aware that I /we be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place _____

Date _____

Client Signature :  _____

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

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

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

For **Pune e Stock Broking Pvt.Ltd.**

Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

SCHEDULE OF CHARGES FOR TRADING ACCOUNT

Client Code : _____

Brokerage Scheme _____

	Cash segment		F & O Future		F & O Option		Currency Future		Currency Option
	Max. (%)	Min. (Paise)	Max. (%)	Min. (Paise)	% on Premium	Min. per Lot (Rs.)	Max. (%)	Min. (Paise)	% on Premium
Trading : First leg									
Square off : Second leg									
Delivery Brokerage									

Particulars	Cash Market Segment		Future & Options		Currency Derivatives	
	BSE	NSE	FUTURE	OPTIONS (On premium)	FUTURE	OPTIONS (On premium)
STT (Delivery) (on purchase & sale)	0.125%	0.125%	-	-	-	-
STT (Non Delivery) (on sale)	0.025%	0.025%	0.017%	0.017%	-	-
Transaction charges (on turnover)						
Market Order	0.0033%	0.00325%	0.004%	0.10%	0.003%	0.30%
Limit Order	0.0023%	0.00325%	0.004%	0.10%	0.003%	0.30%
STAMP DUTY						
(Delivery)	0.01%	0.01%	-	-	-	-
(Non Delivery)	0.002%	0.002%	0.002%	0.002%	0.002%	0.002%

Other charges :

- Levies such as Service Tax, Stamp Duty, Transaction charges, Other charges will be charged as per norms defined from time to time.
- Service tax@10.30% on Brokerage, Inter settlement Auction & Transaction collateral handling chg.
- Any other penalty levied by regulator on account of client's default, would be charged at actual.
- DEMAT Account opening charges Rs. 250/-
- PeSB reserves the rights to levy additional charges including but not limited to the following :

Particulars	Amount
Auction Charges (In CM Segment)	1.5% of shortage amount
Inter settlement charges (per script per instruction)	Rs. 25/-
Collateral Handling Charges (per script per instruction)	For F&O Rs. 50/- For CM Segment Rs. 15/-
Bounced Cheque/Stop Payment of cheque	Rs. 200/- per instance/instrument

(These charges are subject to revision at the sole discretion of PeSB and shall be informed by ordinary post/email/quarterly account statements/ SMS)

I have read, understood, accepted and agree to pay the brokerage & charges.

For

For Pune e Stock Broking Pvt. Ltd.



(Client Signature)

Name :

Date :

Authorised Signatory

Name :

Disclosure Regarding Pro Trading

To,

Name of the Client _____ Client Code _____

Dear Sir,

As per the exchange notification, we hereby inform you that we, in addition to client based business as broker, are undertaking Proprietary Trading / arbitrage as well as investment business in our own account.

Thanks & best regards.
Pune e Stock Broking Pvt. Ltd.

Authorised Signatory

I / We acknowledge receipt of your information that you do client based trading and pro account trading.



(Client Signature)

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

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

CLIENT INFORMATION

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

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

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

ELECTRONIC CONTRACT NOTES (ECN)

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

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

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

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

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

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

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

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

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

2.2 Currency specific risks:

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

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

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

2.3 Risk of Option holders:

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

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

2.4 Risks of Option Writers:

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

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

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

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

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

4. GENERAL

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

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

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE
<ol style="list-style-type: none">1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.exchange.com and SEBI website www.sebi.gov.in.2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.6. Obtain a copy of all the documents executed by you from the stock broker free of charge.7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.
TRANSACTIONS AND SETTLEMENTS
<ol style="list-style-type: none">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:<ol style="list-style-type: none">a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in

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

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

Policies and Procedures

The underlying document outlines various policies and procedures **Pune e Stock Broking Pvt. Limited** (PeSB) has framed with respect to its dealing with clients for capital market transactions to ensure transparency and facilitate understanding on various aspects related to service delivery. Kindly note that the below stated policies and procedures are subject to change from time to time, depending upon our internal risk management framework, market and external environment; and clients can refer the PeSB's website for the updated documents.

1. Refusal of orders for penny stocks etc:

Generally, PeSB alerts clients to desist from trading in any penny stocks in view of the associated risk element while dealing in such stocks. Further, the client is also required to adhere to Exchange / Members' guidelines and due diligence while trading in such stocks. Also SEBI / Exchange from time to time issues directives necessitating additional due diligence for dealing in such stock(s).

We at our sole discretion, may impose certain restrictions and/ or conditions (on case to case basis), subject to rules, regulations, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances and risk policies at a related point in time. These restrictions/ conditions include but are not limited to the following

- a) Restrict wholly or partly for trading in certain security (ies) or category of security (ies)/contracts viz.
 - i. illiquid stocks / stocks having low liquidity,
 - ii. illiquid options /far month options / long dated options,
 - iii. writing of options,
 - iv. securities listed in Z, T, TS, S, B group or 6 lakh series available for institutional category on BSE and / or securities listed in BE, IL, BT or EQ series on NSE,
 - v. any other securities/ contracts which as per the perception of PeSB are volatile or subject to market manipulation or has concentration risk at client level or at the company level,
- b) accept or partially accept an order for buy and/or sell. Such acceptance may require execution in a controlled environment (for e.g. from centralized desk instead of from

designated dealing area or online platform),

- c) Cancel orders in above securities /contracts received from clients before execution or after partial execution without assigning any reasons thereof ,
- d) Require the client to provide appropriate declarations before/after accepting and execution of such orders. Or as and when any enquiry from regulating authority

PeSB shall –

- a) not be responsible for non-execution / delay in execution of such orders and consequential opportunity loss or financial loss to the client,
- b) have the discretion to place such restrictions, not with standing the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities / contracts through PeSB itself,
- c) have the right to revise the list of such securities /contracts on a periodic basis.
- d) have the right to reverse such trades at the client's cost Client can obtain the information about the updated list of securities from the Relationship Manager / Dealing Branch office / Sub Broker.
- e) Not to be responsible for any loss or delay or non-execution & orders due to any technical snags, failures, break downs etc. of computer, network or parts thereof, connectivity, internet connections, telephone lines failure of any hardware or software.
- f) Not be responsible for consequences of any advice /recommendation which may be rendered by any official staff at main office or branch office or business associates.

2.Setting up Client's Exposure limit : Settlement / Margin obligation:

The Exchange bye-laws requires a member broker to adhere to various trading and settlement obligations and conditions which include but are not limited to

- a) Upfront margin maintenance requirements with the Exchange / Clearing Corporation prior to taking an exposure in the market,

Client Signature :  _____

- b) cash and collaterals / securities deposit, in prescribed ratio, for margin maintenance,
- c) certain margins to be paid for in cash only, for instance mark-to-market,
- d) trading in the script which is banned in F & O
- e) settlement obligations in respect of funds and/or securities to be honoured as per the settlement calendar prescribed by the exchange from time to time.

In order to enable PeSB to meet the obligation on behalf of the client, PeSB seeks client's cooperation to maintain adequate margin, make timely settlement of obligations, top-up margin by scheduled date, etc.

Exposure setting : Margin based limit / exposures will be set for clients for transacting in Cash and F&O segment. While computing the available margin, clear credit lying in client's settlement and margin ledger, securities held in client's beneficiary account with Member and securities held in client's demat account for which limited power of attorney is available with PeSB etc. may be considered.

Margin can be paid in form of cash and approved collateral. Collateral will be valued on daily basis at latest / previous day's closing price and appropriate hair-cut shall be applicable. List of approved collaterals / securities along with applicable haircut, is subject to revision from time to time based on Exchange approved list, market volatility, quality of collateral and internal guidelines; and same can be obtained from the Relationship Manager / Dealing Branch Office/ Sub broker.

PeSB shall have the discretion to allow differential limits / exposures varying from client to client, depending upon client's trade history/experience, if available, his financial capacity and/or credit worthiness and referral of each client.

3. Brokerage Policy

PeSB may charge a brokerage for all trades facilitated on BSE, NSE or any other recognised exchange of which PeSB is a Member. Brokerage rate may vary from client to client, as per the terms agreed with the client at the time of registration or by way of any subsequent written agreement

between the client and PeSB. The rate of Brokerage shall not exceed the maximum permissible brokerage stipulated by Exchange/ SEBI.

The slab rates of brokerage fixed by PeSB may be function of the quality and cost of services provided to the client and the volume and revenue expected from a relationship. It shall be reviewed by PeSB from time to time and may be changed in such manner as PeSB may deem fit provided that the same would not contradict the regulatory provisions. The brokerage shall however be exclusive of the following :

- Service Tax and Education Cess
- SEBI/ Exchange/ Clearing member charges
- Stamp duty
- Statutory charges payable to Exchange / SEBI/ Govt. Authorities etc.,
- DP Annual maintenance charges
- DP transaction charges / Pledge / Unpledge / Demat / Remat charges
- DP Inter settlement charges
- Account Opening charges
- Bank charges towards the cheques received unpaid
- Charges towards customized/ specialized service

4. Imposition of Penalty / delayed payment charges

Delayed payment charges / margin shortage charges : As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the margin by scheduled date. Incase client fails to settle the dues in time, PeSB shall reserve the right to

- a) levy delayed payment charges, not exceeding 18% per annum, or such other rate as may be determined by the PeSB from time to time, on account of delays/failure by the client in meeting the pay-in / margin obligations /mark-to-market obligation on the scheduled date till the date of payment in Cash and/or F&O segment,
- b) levy a charge for disproportionate cash versus

Client Signature :  _____

collaterals ratio prescribed by the Exchanges for deposit of margins in F&O,

c) not consider any credit balance in other family or group account of the client while computing delayed payment charges on the debit balance in the running account of a client.

The above levy is only a penal measure in case of a client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.

Penalties levied by Exchanges :

Exchanges / Clearing Corporation/ SEBI levy penalties on the member broker for irregularities observed by them during course of its dealing with Members. PeSB shall recover such imposed penalties / levies, by the Exchange / regulators, from the client which arises on account of dealing by such client. The illustrative list of reasons to levy penalty include but are not limited to –

- a) auction resulting from short deliveries,
- b) non adherence to client-wise exposure limits in Cash and F&O segment
- c) client-wise shortfall in F&O margin
- d) trading in the script which is banned in F & O
- e) any other reasons which may be specified by the Exchange / Clearing Corporation /SEBI from time to time .
- f) In case of dishonor of cheque issued by the client.

Interest Free Deposits :

PeSB provides exposure against the upfront margin received in the form of cash / collateral from the client and the client also has the prerogative to demand withdrawal of cash or collaterals at his discretion, subject to surplus margin in place. PeSB shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with PeSB except for the corporate benefit received on such collateral securities, if any.

5. Liquidation Policy :

(The right to sell Client's securities or close Clients' positions, without giving notice to the Client on account of non-payment of dues and/or margins

by Client)

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the required margin by scheduled date. The client agrees and confirms that in case of any delay (beyond permissible time limit as per SEBI or Exchange's rules, regulations, byelaws, circulars and other applicable laws/ provisions) in making the payment, PeSB shall have the right to close positions/ contracts and sell client's security(ies)/ both unpaid securities as well as collaterals deposited towards margins or securities previously purchased by the client or close out client's open positions / contracts or offset credit balance in other segment / exchange against client's obligation / debit balances / liabilities, without giving any notice to the client, as per prevalent risk policy from time to time, in circumstances including but not limited to the following

- a) Where intra-day position, if any, not liquidated before prescribed time or placing of fresh intra-day order after a cut-off time fixed by PeSB,
- b) Where client is not having adequate margins, as per conditions specified in Exposure Limit section or on account of removal of a security from approved list of collateral and client's failure to top-up further margins,
- c) Where client delays /fails to meet the pay in obligation /mark to market (MTM)dues /clearance of debit balances /dues by scheduled date or realization proceeds of the cheque(s) deposited by the client to meet obligation is not received
- d) Cheque bouncing / not honoring sale obligation by delivering shares in time or due to any reason delays or fails in clearing outstanding dues to PeSB,
- e) Volume in excess of permissible internal limit cap in illiquid / penny stocks / long dated options / far month options or excessive speculative trading,
- f) scrip is moved in BAN list (due to breach of exchange limit defined for market wide position limit / trading member wide position limit / client

Client Signature :  _____

wide limit in F&O segment, etc.),

g) Irregularities in dealing and other surveillance / money laundering (AML) related observations,

h) client categorized as ineligible due to non-traceable, disputes, possible default by client, barred by regulatory authority and any other circumstances leading to raising non-confidence in client,

i) disputed delivery/ trading position,

j) any direction from SEBI/ Exchange or such other regulatory/ statutory authorities,

k) under such other circumstances as PeSB might think just and proper on case to case basis.

Such liquidation may be in full or partial to the extent of shortfall / debit and securities / position / contracts selection would be at the discretion of PeSB. While selling the securities/ closing the clients positions / contracts, PeSB may take into account the positions closed by the client or collections received from the client till a cut-off time. Securities previously purchased would be used for liquidation where the sale proceeds of unpaid securities are inadequate to cover the pay-in obligations and/or where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required. PeSB shall have the right to sell client's securities or close out client's open positions / contracts but it shall not be under any obligation to undertake this exercise compulsorily and therefore shall not be under any obligation to compensate/ or provide reasons for any delay or omission on its part to sell client's securities or close open positions / contracts of the client and client shall be solely responsible for the loss incurred on such liquidation.

6. Shortages in Obligation and penalty for defaulting client :

Clients are required to make Securities / Funds payin on or before T+2 day for cash market & T+1 for F & O market. In case of default in security pay-in by the client and the shortage is at member level i.e. internal shortage, a penalty as applicable from time to time, will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client. Rate of penalty will be decided by member as applicable from time to

time and published on our website or otherwise.

In case of default of securities pay-in by the client and the shortage is vis-a vis the Exchange, auction value of the respective exchanges and all levies, as applicable, shall be recovered from the defaulting client.

7.Conditions under which a Client may not be allowed to take further positions or the Member may close the Existing positions of a Client:

Under various circumstances outlined in the Liquidation Policy section of the document, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc.

Further, it would be the duty of the client to tally its position with PeSB from time to time. In case of any delay or failure by the client in meeting any obligation, margin requirements etc. PeSB, at its discretion, may close the open position / contracts without any further intimation to the client in this regard as per the Risk policy.

8.Temporarily suspending or closing a Client's account at the Client's request:

The client is required to submit written request for closure of account or for temporary suspension of account clearly stating period of suspension, to the nearest branch office, sub-broker office or central processing cell at the registered office of the Member. Upon receipt of request and after satisfying itself with respect to all information/ documentation and settlement of client dues, the Member shall act upon the request within reasonable time but not later than 30 days from the date of request.

9.Suspension of trading account and Deregistering the client

Suspension of trading account PeSB may carry a periodic review of the client accounts and may, at its discretion, suspend the client's accounts from trading in the following circumstances :

- a)** where the client s status is dormant or inactive during last 12 months from the date of last transaction
- b)** where the client has not cleared the naked or uncovered debits in prescribed time,

Client Signature :  _____

- c) default by the client in honouring its settlement / margin obligation including cheque bouncing / auction of shares,
- d) irregular trading pattern from surveillance / AML perspective,
- e) where PeSB is unable to transfer the shares to the default demat account provided by the client till the client submits the revised demat account details along with proof,
- f) where the client is categorized as ineligible due to being non-traceable, pending disputes /complaints, possible default by client and any other circumstances leading to raising non confidence in client including return of undelivered couriers citing reason of "no such person / addressee left /refusal to accept mails / POD s signed by the third persons etc. "or Digital Contract Notes (DCN) failed (Bounced email) on more than 3 instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation of financial and other details viz .,email id mobile no ,land line details or it is found to be belonging to a third person,
- g) Where the account is under investigation by any regulatory body including receipt of notice from statutory, government or local authorities including income tax, service tax, a judicial or a quasi judicial authority, or client is arrested by way of court order, police action or any other legal action,
- h) where a client is reported to or known to have deceased,
- i) where client fails to provide executed or renewed mandatory documentary requirements as prescribed by Exchanges / Regulators from time to time and /or refusal to do the periodic submissions as required by Exchanges / Regulators,
- j) under such other circumstances as the PeSB might think just and proper on case to case basis.

Deregistering a client

PeSB may at its discretion de-register the client's account in circumstances including but not limited to the following -

- a) action taken by Exchanges / Regulators or being part of list of debarred entities published by SEBI,
- b) Where the client indulge in any irregular activities not limited to synchronized trading, price manipulation, etc. resulting in violation of rules, regulations of the exchange and any other such activity
- c) Based on information found in sites of CIBIL,

Watch out investors, World check or client having suspicious back ground, link with suspicious organization etc.,

- d) Irregular trading pattern from surveillance / AML perspective,
- e) Where the client is categorized as ineligible due to being non-traceable, disputes, possible default by client & any other circumstances leading to raising nonconfidence in client including return of undelivered couriers citing reason of "no such person / addressee left /refusal to accept mails /POD s signed by the third per-sons etc. "or Digital Contract Notes (DCN) failed (Bounced email) on more than 3 instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation of financial and other details viz .,email id mobile no land line details or it is found to be belonging to a third person
- f) Right to deregister after serving a 30 days written notice without assigning any reason thereof. In such case, PeSB shall have the right to close out the existing positions / contracts, sell the collaterals to recover its dues, if any, before de-registering the client's account.

10. Policy for Dormant /In-active account:

Where no transactions have taken place in client's account during the last 12 months from the date of last transaction, then it will be considered as dormant / in-active account. If the account status is tagged as a dormant / in-active account, then the surplus funds or securities lying with PeSB shall be refunded / returned to clients at his last known bank account / DP account for securities or at such other address as mentioned in the Account Opening Form.

Reactivation :

A client's account will be re-activated, subject to fulfillment of such conditions as PeSB may consider fit and proper

a) on submission of proof of identity and proof of address, where the account is suspended due to dormant / inactive status or on client s request, or on submission of such other information/ documents as deemed fit by PeSB ,

b) In other circumstances, at the discretion of PeSB, provided there is no outstanding dues from the client or he has no open grievances pending against PeSB or client has complied with all requirements of PeSB of submission of information /documents or on fulfillment of such other conditions that PeSB may impose at its discretion .

Client Signature :  _____

Voluntary General Terms & Conditions

THE CLIENTS ARE REQUIRED TO NOTE THAT THE BELOW MENTIONED CLAUSES ARE NOT MANDATORY AS PER THE EXCHANGE/SEBI REQUIREMENTS BUT ARE BINDING ON THE CLIENT IF THEY WANT TO AVAIL THE SERVICES OF **Pune e Stock Broking Pvt. Ltd.** THE CLIENT MAY REVOKE ANY OR ALL THE CLAUSES OF THIS DOCUMENT BY COMMUNICATING IN WRITING AND IN SUCH AN EVENT THE BROKER RESERVES A RIGHT TO TERMINATE SOME OR ALL THE SERVICES OFFERED TO THE CLIENTS.

I/We having my/our office / residence address at (and)/We (name) of, Sub-Broker / Branch Manager / Remisier / Authorized Person / Introducer) hereinafter referred to as 'the Sub-Broker) having his / its office / registered office at registered as Clients / Constituents with **Pune e Stock Broking Pvt. Ltd.**, member of Bombay Stock Exchange Ltd. (SEBI Regn. No. INB 011289239 Cash segment) & INF 011289239 (F & O): National Stock Exchange of India SEBI Regn. No. 231289233 (Capital Market) & INF 231289233 (Derivatives) & INE 231289233 (CDS) hereinafter referred as 'the Broker' (PeSB), which expression shall, unless repugnant to the context and meaning thereof, be deemed to mean and include it's successors, assignees and legal representatives, do hereby state and confirm the following terms and conditions as agreed upon by me/us with the Broker.

1. On the Client Registration Application Form (KYC) being submitted by the Client, PeSB may, at its sole discretion, open the Client Account. This Agreement shall become effective only upon PeSB opening and activating such Client Account. The Client is aware and agrees that the mere execution and/or acceptance of his Agreement(s) by PeSB does not oblige PeSB to open a Client Account and PeSB reserves the right to accept an applicant as a Client. PeSB is not obliged to disclose reasons for not accepting the applicant as a Client.
2. The Stock Broker reserves the right to make such changes to this agreement as may be considered necessary from time to time by giving notice of 15 days. Changes by Stock Exchanges / other Regulatory shall be with immediate effect, other changes shall be effective from the time the Client is notified thereof unless otherwise required by the Rules, Regulations & Bye-Laws of the Stock Exchange(s) or Rules & Regulations of SEBI.
3. I/We would maintain a running account with the Broker. I/We also authorize the Broker to hold the funds and securities in their custody till my/our further instructions given to them in writing or otherwise. 4. I/We hereby confirm to make payments for purchase and clear all debits before pay-in. The Broker is authorized not to released securities purchased by me/ us unless the funds obligations have been paid in full. In case the Broker does not receive funds before due date (i.e. pay-in-date) they will have all rights to sell the shares without any further intimation to me/us. The cost and consequences of such action shall be entirely our responsibility and shall be without any prejudice to the Brokers right to take any other action to recover the dues.
5. All fines / penalties and charges levied on you due to my/our transactions/deeds/actions are recoverable by you from my/our account(s).
6. In case of shares purchased being sold the next day or later on the same exchange ro any other exchange it is hereby reconfirmed that I/we will make the payments first and then receive the payments on payout of the sale transactions.
7. The Broker will not be held responsible for any loss that may occur due to technical failure/natural calamities / theft / fire, etc. or any other reason which may be beyond the control of the Broker.
8. The Client agrees that he will not make any third party payment from any account (other than what is specified in the Client agreement/KYC). In case of such payment being made, the Client agrees to intimate the Broker, in writing of the same. The Client also agrees that the Broker may reject such third

Client Signature : 

party cheques/payment and the Client will not hold the Broker responsible for any loss incurred in such cases.

9. The Client and sub-Broker, individually and jointly (with family/group), shall indemnify and shall always keep indemnified the Stock Broker harmless from and against all claims, demand, actions, proceeding, loss, damages, liabilities, changes and/or may be occasioned to the Stock Broker directly or indirectly, owing to bad delivery (as defined by the exchange rules/regulations/byelaws) of shares/securities and/or as a result of fake/forged/stolen shares/securities/transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealing / operation on the Stock Exchange. The Client hereby agree to indemnify the Stock Broker and Sub Broker against all claims including legal costs incurred to defend any claims made by the Client. The Sub Broker hereby agrees to indemnify the Stock Broker against all claims.
10. My/Our funds/shares lying in the margin account may be used by the Broker for the purpose of placing same as margin with the exchange and/or clearing Member, in any form the Broker may deem fit.
11. Tape recording of Client conversation : The Sub Broker / Client is aware that the Stock Broker may tape - record the conversation between the Sub Broker / Client or the Client's representative and Stock Broker, either personally or over the telephone, and the Client hereby specifically permits the Stock Broker as and when required to resolve disputes in connection with the transaction.
12. The Client hereby agrees that he shall not deposit excess payment cheques, if any, received from the Broker for any reason whatsoever and bring it to the notice of Sub Broker and Stock Broker.
13. It is hereby agreed between the Client and the Stock Broker that the ledger statement in respect of transaction entered into on the cash segment of the exchange will combined for the purpose of convenience of the Stock Broker and the Client and the payment received and paid by the Stock Broker will be appropriated on a First-in-First out basis. The Client agrees to download his account statement, cash and derivatives both from Stock Broker's website on a weekly as well as monthly basis. Any discrepancy in the account statement shall be brought to the notice of Stock Broker by the Client in the writing within thirty (30) days from the end of the month, failing which the account statement appearing in the books of the Stock Broker shall be deemed to be correct and accepted by the Client.
14. PeSB reserves the sole and exclusive right to determine the Channels through which the Client may access/receive the Service.
15. Any failure on my/our part in payment of margins shall be viewed seriously and the Broker is authorized not to allow me/us any further exposure and also authorized to square off my/our existing position/ s and/or sell the securities lying with the Broker as collateral.
16. The amount of security margin deposited with the Broker will always be interest free and the Broker shall have the right to adjust the same against any outstanding dues in my/our Client account operated by me/us with the Broker. In the event of closure of account with the Broker, the balance of securities, deposit amounts (if any) shall be refunded only after all the transactions in all our and/or family accounts across segments are fully settled and/or intimation of closure, which ever is later. Also the intention of closure of account will be duly intimated in writing only.
17. All debits/charges incurred by the Stock Broker due to bad / short / delayed deliveries made by the Client shall be fully recovered by the Stock Broker from the Client.
18. In case of delay of payment by the Client to the Stock Broker on its due date, the Stock Broker in respect of such delayed payment will charge interest. The said delayed payment shall include amounts payable by the Client to the Stock Broker in respect of daily margin and mark to market and other related margins and pay-in-obligation. Interest will be levied at
19. For the purpose of this agreement the term "Dues of Client" shall include the amount of monies

Client Signature : 

payable by the Client including, but not limited to, the purchase price of the securities, Brokerage, Margin Money, Service Tax, Turnover Tax, Auction Debit and Charges, Services Charges, Demate charges and other amount agreed to and payable by the Client to the Stock Broker.

20. I/We further authorize you to directly debit my/our account with any charges incurred or defined by you such as depository, Client Registration Application Form or bank charges with respect to our trading accounts including those incidental to the margin accounts maintained by you on our behalf.
21. The Client shall deposit with the Stock Broker money's / securities or other property, which may be required to open and/or maintain his/her/their account. All moneys, securities, or other properties, which Member may hold on Client account, shall be held subject to general lien for the discharge of Clients obligations to member under this agreement.
22. Any Stamp Duty liability imposed by any Central/State Government, which may arise from time to time will be borne by the Client. **Pune e Stock Broking Pvt. Ltd.**, its directors, employees or assignees will not be held responsible for the same.
23. You are requested to kindly accept my verbal, telephonic or electronic instrumentions to place/modify/cancel the orders and not insist for the same in writing. I/We do not require order slip(s) and Trade slip(s) generated by the computer system pertaining to my/our order/transactions.
24. The Broker shall not take any responsibility for unexecuted orders. All on-line Best-Market orders would NOT be presumed as executed unless confirmed as trade by the respective exchanges trading system.
25. All the orders placed by me/us with you are on my/our own account and not on behalf of my/our Clients. No split confirmation memos are required or orders executed by you on my/our behalf or I shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes to anyone else for the trades done by me/us.
26. The Sub Broker will not be responsible for partial execution of order placed by the Client. The Client also agrees that all others placed by him shall be treated as orders for that particular session only. In case the Client wants the orders to be carried forward or extended for the day he shall communicate the same to the Stock Broker and the Sub Broker.
27. The cancellation or modification of an order pursuant to the Client's requested is not guaranteed. The order will be cancelled or modified only if the Client's request for cancellation or modification is duly received and the order is successfully cancelled or modified before it is executed. Market orders are subject to immediate execution.
28. The securities sold through the Broker on my/our account are belonging to me/us as legal, rightful and beneficial owner/s. I/We take full responsibility of any dispute regarding the title of the securities sold through the Broker and state that I/We will deal only in those securities that would be rightly owned by me/us.
29. Any queries related to securities delivered by the Broker, would be brought to the notice of the Broken within 2 days of the receipt of such securities in my/our demat account or otherwise it can be presumed that I/We have checked all the securities received by me/us & that they are good as per the prevailing norms.
30. In roling settlement scenario, it is my/our responsibility to check my/our beneficiary demat account on a regular basis with our respective DP's.
31. I/We shall not sell any securities / shares until I/We have confirmed clear balances of holding of the same in my/our demat account. Further in case I/We buy securities in one Exchange and sell the same on another Exchange, or if I/We buy securities and sell back the same before having received them in our demat account, I/We hereby confirm that I/We shall be fully responsible in the event of any auctions

Client Signature : 

happening of my/our sale obligations, due to the deliveries having been received short from the purchasing exchange and/or due to the operational / procedural delays for inter depository and time taken by depositories to execute the same and / or for any reason whatsoever. Also all such consequences, auctions, penalties or any other financial loss or charges will be purely and entirely on my/our account and the Broker will in no way be responsible and/or liable for the same.

32. The Client agrees that it will not transfer any securities from any demat account (other than what is specified in the Client agreement/KYC). In case of such transfers are being made the Client agrees to intimate the Broker, in writing of the same. The Client also agrees that the Broker may reject such third party transfers and the Client will not hold the Broker responsible for any loss incurred in such cases.
33. The shares shall be delivered by the clearing houses(s) to the Clients Demat account on payout date subject to clear account balance with the Stock Broker. Failure of which, the Stock Broker will be entitled to sell the shares without any intimation to Client and the loss if any shall be to the Client's account.
34. In case the contract note is sent through courier, the courier receipt of the same should be treated as confirmation of receipt of such contract.
35. Any delay that may occur in sending bills / contracts / payment of funds / deliveries of shares & securities by the Broker, which may be due to procedural and / or operational reasons, is acceptable to me/us.
36. I/We hereby authorise to modify brokerage structure.
37. The Client authorizes the Stock Broker to retain order confirmation / cancellation / trade confirmation slips and to send it to him only on specific request being made in this regards.
38. The Stock Broker and the Client hereby agree that the procedure for sending the contract note, bills, ledgers, transaction statement, reports, letters, circulars, notices, statement of accounts for funds/securities etc. by post (ordinary or registered or speed or UPC), courier, hand delivery to the Client is applicable only if so demanded by the Client in writing to the Stock Broker. Otherwise, the Client hereby agrees to receive the contract notes, bills, ledgers, transaction statement, reports, letters, circulars, notices, statement of accounts for funds/securities etc in electronic form through email id provided by the Client to the Stock Broker.
39. I/We wish to state that my/our email id is and the same is checked by me/us regularly. I/We also wish to say that all mails of contracts, bills, confirmation notes, quarterly compliance related reports like ledger accounts, holding etc. may please be sent to this email id and non receipt of bounced mail notification by you shall amount to delivery of the documents.
40. While the Broker would confirm the trades executed on my/our account the same day evening, it would be my/our duty to bring to the notice of the Broker any discrepancy in our trade confirmation the same day evening, failing which it is confirmed that I/we have accepted the trade/s in total. It is understood and confirmed that the Broker will not entertain any discrepancy regarding trade confirmation on the following day or at any point in time thereafter.
41. Any queries related to my/our contract and/or confirmation or bill, shall be brought to the notice of the Broker within 24 Hrs. after receipt of contract / confirmation and/or bill.
42. The Client agrees that it will not indulge in manipulative traders on indulge in any sort of activity related to the trading in securities, which are prohibited under law.
43. Type of services offered : The Stock Broker agrees to provide, and the Client agrees to avail of the trading facilities of the respective exchanges capital market and / or derivatives segment.

Client Signature : 

44. INVESTMENT ADVICE :

- a) The Client acknowledges that the Stock Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.
- b) The Client agrees that in the event of the Stock Broker or any employees or official of the Stock Broker providing any information, to the Client, the Client may act upon the same at the sole risk and cost of the Client and the Stock Broker shall not be liable or responsible for the same.
- c) The Client assumes full responsibility with respect to his investment decisions and transaction.
- d) The Stock Broker, its officers, directors, agents and affiliates will have no liability with respect to any investment decisions or transactions with Client.
- e) PeSB does not intend to give and the Client acknowledges that PeSB shall not be liable to provide to the Client, any tax, legal or investment advice of any kind or any advice or opinion with respect to the nature, potential value or suitability of any particular securities trade, transaction, investment or investment strategy. The Client understands and agrees that in the event the Client receives or accesses any investment research reports or any investment or other recommendations or advice from PeSB and/or any Business Associate (or any employee or official of PeSB or a Business Associate) or on PeSB Web Site or that of any Business Associates, the same is on a no-liability, no guarantee, no-solicitation and no-obligation basis and any decision, action or omission thereon by the Client shall be entirely at the Client's risk and should be based solely on the Client's own verification of all the relevant facts, financial and circumstantial, a proper evaluation thereof and the Client's investment objectives and PeSB shall not be responsible or liable for the same for any reason whatsoever.
- f) The Client shall always keep himself abreast of all requirements to be complied by him under various laws including the Foreign Exchange Management Act, 1999 wherever applicable and the rules, regulations, directions, circulars, notifications or guidelines issued under or pursuant to the relevant laws.

45. The Client shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password. Unless the Client lodges a complaint with the Stock Broker as to his/her/its inability to access the system, it would be presumed that contract notes and all have been properly delivered.

46. Notification : The Client agrees to furnish such details including details as regards financial position, assets, liabilities etc. as and when required to do by Stock Broker or Sub Broker.

47. Proprietary Trading : The Stock Broker hereby states & informs that it undertakes proprietary trading in Cash (Capital Market) & F&O segment of BSE & NSE in addition to Client based trading.

48. PROVISIONS OF MONEY LAUNDERING ACT 2002 :

- a) The sub-Broker/business associate/Client has read and understood the provision of Money Laundering Act 2002 applicable from 1st July 2005.
- b) The sub-Broker/business associate/Client agree to comply with the said Act.
- c) The sub-Broker/business associate/Client shall inform the Compliance/Principal office of PeSB of series of transactions integrally connected to each other, which have been valued for more than 10 lakh or its equivalent where such series of transaction take place within a calendar month.
- d) The sub-Broker/business associate hereby undertake to introduce Client after proper due diligence of the Clients including the background, references & sources of income and satisfying themselves of the identity & creditworthiness.

Client Signature : 

49. INTERNET TRADING :

- a) The Client is aware that authentication technologies and strict security measures are required for the internet trading 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.
- b) The Client agrees that the Stock Broker shall not be liable or responsible for non-execution of the orders of the Client due to any links/system failure at the Client/Stock Broker/Exchange end.
- c) The Broker shall also send the Order/Trade Confirmation slip through email to the Client at his request, within 24 hrs. from the time of execution of order/trade on the system, as the case may be. The Client agrees that the information sent by the Stock Broker by email is deemed to be a valid delivery of such information by the Stock Broker.
- d) The Client is aware that the Stock Broker has provided on the website a facility for reconfirmation of orders, which are larger than that specified by the Stock Broker risk management, by the Stock Broker and is also aware that the Stock Broker has the discretion to reject the execution of such orders based on its risk perception.

50. Any notice, information or other communication to be given by the Client to PeSB in connection with this Agreement shall be and for the attention of the person, set out below :

51. SEVERABILITY : In the event of any provision of this Agreement being held to be becoming invalid, unenforceable or illegal for any reasons, such invalidity unenforceability or illegality shall attach only to such provision or condition, and this Agreement shall remain otherwise in full force apart from the said provision, which will be deemed deleted. The validity of the remaining provisions and conditions shall not be affected thereby and this Agreement shall be carried out as if any such invalid or unenforceable provision or condition was not contained herein. The Stock Broker shall however attempt to replace the deleted provision with a legally valid provision that reflect the same purpose as the deleted provision to the greatest extent possible.

52. NO WAIVER : Any failure and/or delay on the part of the Stock Broker to insist on strict compliance/exercise with any of the terms, conditions, provisions, powers and/or rights in this Agreement or a continued course of such conduct shall at no time operate as waiver, in full/part, of such terms, conditions, provisions, powers and/or rights. All such powers, remedies and/or rights are cumulative and not exclusive to any other powers, remedies and/or rights that the Stock Broker may otherwise have.

Date :

Client Signature : 

Place :

Name

(TO BE SIGNED VOLUNTARILY BY CLIENT)

Authority to Remit Funds

Date: _____

To,

Pune e Stock Broking Pvt. Ltd.

1198, Shukrawar Peth,
Subhashnagar, Lane No. 3,
Pune-411002

Dear Sirs,

SUB: AUTHORITY TO REMIT FUNDS PAY OUT ELECTRONICALLY INTO MY BANK ACCOUNT.

This has reference to my trading account number _____ with you. I hereby, irrevocably, authorise **Pune e Stock Broking Pvt. Ltd.** to credit my account Number _____ with _____ Bank, _____ Branch electronically i.e. through Net Banking, RTGS, NEFT etc. for all the funds pay out due to me. I confirm that I am the first holder and bonafide owner of the above mentioned bank account.

I am enclosing documentary proof in this regard for your reference and record.

Bank Name: _____

Bank Account Number (All digits): _____

Account type : _____

Branch Address : _____

IFSC Code (11 Digits-for RTGS to be obtained from bank) : _____

IFSC Code (11 Digits-for NEFT to be obtained from bank) : _____

I am aware and understand the risk associated with electronically transfer of funds and hereby indemnify **Pune e Stock Broking Pvt. Ltd.** from all liabilities losses resulting either from delay in crediting of pay out amount and / or non execution of such electronic pay out instruction.

Thanking you,

Yours faithfully,

Client Signature :  _____

(TO BE SIGNED VOLUNTARILY BY CLIENT)

BSE StAR MF

To

Date: _____

Pune e Stock Broking Pvt. Ltd.

1198, Shukrawar Peth,
Subhash Nagar, Lane No. 3
Pune-411002

Sir,

Sub: BSE StAR MF

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 Bombay Stock Exchange Ltd. (Exchange).

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

For the purpose of availing this 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 BSE StAR MF 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 December 2, 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 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 BSE StAR MF.

Thanking you,

Yours faithfully,

 _____

(Client Signature)

(TO BE SIGNED VOLUNTARILY BY CLIENT)

Mutual Fund Services System Facility

Date: _____

To,
Pune e Stock Broking Pvt. Ltd.,
1198 Shukrawar Peth, Subhash Nagar,
Lane No. 3, Near Hirabaug,
Pune - 411002

Dear 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., (Exchange).

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 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 Scheme with conditions, rules and regulations of the Mutual Fund Schemes.

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

Thanking you,

Yours faithfully,

 _____

(Client Signature)

(TO BE SIGNED VOLUNTARILY BY CLIENT)

Date : _____

To,
Pune e Stock Broking Pvt. Ltd.
1198 Shukrawar Peth,
Subhash Nagar, Lane No. 3,
Pune-411002

Dear Sir,

Sub: Letter of Authority/Request to Pune e Stock Broking Pvt. Ltd.


I/We have opened the client/constituent account with **Pune e Stock Broking Pvt. Ltd.** (herein referred as PeSB) for trading/dealing in securities on Bombay Stock Exchange Ltd.(BSE) and/or National Stock Exchange of India Limited(NSE) and MCX Stock Exchange Limited (MCX-SX)

In respect of my/our dealing/account with you, I/We hereby request/instruct and authorize PeSB to do the following:

1. To maintain running account instead of settlement of my/our dues and/or delivery of securities on a Bill to Bill basis.
2. To retain the securities received by PeSB from me/us or on my/our behalf from the Exchange(s) on pay-out or otherwise for my/our debit balance/dues/exposure/trading limits/open interest/various margins as and when required by PeSB or as per any regulations of the Exchange(s). Such retaining/holding of securities shall be construed as due compliance of the requirement of the Exchange(s) an SEBI. Further, PeSB has the sole discretion and authority to dispose/sell the above securities to meet any monetary/other dues/obligation(s) not fulfilled by me/us towards PeSB/the Exchange(s).
3. To use/adjust the credit balance available from time to time in my/our account(s) for my/our exposure/trading limits/margin requirement/other dues.
4. To debit/credit/transfer the amounts, either on the same Exchange and/or between the various segment of the same exchange and/or between Exchanges to meet my/our debit balance and or exposure/margin requirement or other dues payable to PeSB/Exchange(s).
5. To do actual settlement of funds and securities at least once in a calendar quarter/month.
6. To retain the requisite funds/securities towards any outstanding obligation on the settlement date and also retain the funds/securities for margin obligation in such manner and for such period and for such amount as may be prescribed by Exchanges from time to time.
7. To bring any dispute arising form the settlement of account or statement so made to the notice of PeSB within 7 working days from the date of receipt of funds/securities or statement as the case may be.
8. I/we may revoke the authorization at any time by giving written letter to PeSB.

I/we the constituent of the PeSB have affixed my/our signature below consenting to the above.

Yours faithfully

Client Code	Name of The Client	Client Signature
		 _____

(TO BE SIGNED VOLUNTARILY BY CLIENT)

Date : _____

To,
Pune e Stock Broking Pvt. Ltd.
1198, Shukrawar Peth.
Subhash Nagar, Lane 3,
Pune - 411 002.

Dear Sir,

SUB : Letter of Authority / Mandate or issuance of digital contract notes/Bills/Ledger accounts etc.

I/We am/are registered clients with you and dealing in capital Market / Commodities Market.

In reference to my/our dealings with you as your client I / We hereby authorize you to send the digitally signed contract Notes / Bills / Ledgers Accounts etc. at my / our following email id. In order to facilitate ease of operations. I/We hereby give my/our consent and agree to accept the related information / document at the under mentioned EMAIL ID as the valid one.

In case of any query, I / We intimate you / branch within 24 hours thereof. In case of any change in my / our aforesaid email id I / We undertake to intimate the same to you in writing.

Kindly activate my email id and start sending digital contract notes and other market related Obligations / Communication on this email address.

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

Client code :

Email ID 1. : _____

Email ID 2. : _____

Mobile No. :

Kindly do the needful.

Thanking you.
Your's faithfully

Name : _____

Client Signature :  _____

(TO BE SIGNED VOLUNTARILY BY CLIENT)
CONSENT FOR INTRA / INTER SEGMENT, INTER EXCHANGE MOVEMENT OF FUNDS

To,
Pune e Stock Broking Pvt. Ltd.
1198, Shukrawar Peth.
Subhash Nagar, Lane 3,
Pune - 411 002.

I/We _____ registered with **Pune e Stock Broking Pvt. Ltd.** as client / constituent on the BSE and/or NSE Cash/Capital Markets / and / or Futures & Option / Currency Derivatives and having a Depository Account with PeSB member CDSL do hereby authorize you as under :

To move / transfer funds from any / all my/our account/s and/or payouts resulting on account of sale of shares and securities and/or payouts due to settlement/closing of contracts and/or margin refunds from cash/capital market and/or F&O of BSE and/or NSE and adjust the same towards debit balances in any/all my/our accounts of cash/capital market and/or F&O segment of BSE and/or NSE and debit balances in depository account and/or any other debits and/or payments.

I/We also understand that this would save on banking and/or operational delays and cost towards transfer of funds between an account where I/we have a credit balance to an account where I/we have a debit balance. Further, you are authorized to do the transfer, either by passing a journal entry in your books of accounts of the respective section/ department and/or by physical exchange of cheques.

I/we have affixed signatures herein below consenting to the above and the same shall be in force until I/we revoke it in writing.

Signature on this _____ day of _____ 20 ____ at _____

Client Signature :  _____

Name/s : _____

Client Code : _____

DP Account No. : _____

(TO BE SIGNED VOLUNTARILY BY CLIENT)
AUTHORITY TO DEAL & ACCEPT ORDERS ON TELEPHONE

Herewith I/We authorise _____
_____ to place the orders / deal through PeSB on my behalf. All the instructions given by him / them are binding on me and to be treated as received from me.

Client Signature :  _____

To,

Date : _____

Pune e Stock Broking Pvt. Ltd.

1198, Shukrawar Peth, Subhash Nagar,

Lane No. 3, Pune - 411 002.

DECLARATION

As our **HUF** firm wishes to open Share trading account with your co in the said name

We want to say that the first signatory to this letter i. e. _____

Is the Karta of the joint family and other signatories and the adult co-parceners of the said family. We further confirm that the business of the said joint family is carried on mainly by the said karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the company from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the karta, including the share of minor co-parceners. We hereby undertake to inform the company of the death or birth of a co-parceners of any change occurring at any time in the membership of our joint family during the operation of the account.

Name of Karta _____ Sign. With Stamp _____

Name & Signature of Adult Co-parceners

SR. NO.	NAME	RELATIONSHIP WITH KARTA	DATE OF BIRTH	SIGN

Name & dates of birth of Minor Co-parceners

SR. NO.	NAME	RELATIONSHIP WITH KARTA	DATE OF BIRTH	SIGN

(TO BE SIGNED VOLUNTARILY BY CLIENT)

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

In compliance with the provision of prevention Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document.

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436 (E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD / CIR / RR / AML / 1 / 06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD / CIR / RR / AML / 2 / 06 dated March 23, 2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and / or any other law for the time being in force enacted by Govt. of India form time to time or any rules and regulations, notifications direction issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record consituents telephonic calls and / or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or information for this purpose.

The consitutents or their attorney, if any, shall produce independent source document, such as photographs, certified copies of ration card / passport / pan card / driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses / fails to produce the documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituents. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The, Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and reporting the same to FIU-IND.

This document from an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

For and on Behalf of Constituent

② 

(Constituent Signature)

Name : _____

(TO BE SIGNED VOLUNTARILY BY CLIENT)

DECLARATION FOR DELIVERING TRADE CONFIRMATIONS VIA SMS

To,

Pune e Stock broking Pvt Ltd.

1198, Shukrawar Peth, Subhash Nagar,

Lane No. 3, Pune - 411 002.

I / We hereby agree and give my / our consent for sending the trade confirmations and any other information related to trading accounts / securities market etc via SMS. For this purpose, I / We would like to confirm following details for the database maintained with you.

Please update the records with the same.

Mobile No. : _____

Thanking you,

Yours faithfully



(Client Signature)

Name : _____

(Should be attached separately for each Director / Partner / Trustee)
(Please see the instructions attached before filling up the registration form)

1198, Shukrawar Peth,
Subhash Nagar, Lane No. 3
Pune - 411 002.

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

Middle Name

Sex : Male / Female

Residential Status : Resident Indian / NRI / Others

Phone
Mobile
Fax No.
Email

Pin Code

Equity stake (In individual & joint capacity)

Name, Address &
Telephone No(s).
of the Bank

Date of Opening / No. of years :

PAN/GIR No.

Attach copy of any two for proof of
identity (as per SEBI Press Release
No. PRTR/2001 dt 2/5/2001

Voters Identity Card

Driving License

Ration Card

I hereby confirm that i am the director of M/s. _____ since _____ and all information given in the application form is true and correct to the best of my knowledge and belief and i undertake to inform you of any changes therein immediately in writing. I am agreeable to enter into an agreement to abide by your terms & conditions.

Signature

Name :

1. Please submit the Banker's certificate for Account number, Period of Account Operation with verification of your signature
2. In case of identify proof priority, of Director / Partner to be given in the following order.
1st Priority - PAN / 2nd - Passport Copy / 3rd - Driving License / 4th - Voter ID / 5th - Ration Card

FORMAT OF DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTERHEAD

Dated :

To,

Pune e Stock Broking Pvt.Ltd.

1198, Shukrawar Peth,
Subhash Nagar, Lane No. 3
Pune - 411 002.

Dear sirs,

In reference to our present / proposed dealings with you as your constituent, we declare and authorize you as under :

1. We hereby authorize Mr./Ms. _____ or Mr./Ms. _____ or Mr./Ms. _____ partners of the firm singly to execute / sign and submit various papers and documents and to sell, purchase, transfer, endorse and negotiate and do all other things that may be necessary to engage in business with **Pune e Stock Broking Pvt.Ltd.** on behalf of the firm and to sign the authority letter for adjustment of balances in family accounts.
2. We recognise that a beneficiary account can not be opened with a depository participant in the name of a partnership firm as per law. To facilitate the completion of securities transfer obligations pursuant to dealings with you, we authorise you to recognise the beneficiary account no. _____ with depository participant _____ (DP ID _____) opened as a joint account in the names of the partners of the firm. We recognize and accept transfers made by you to the said beneficiary account as complete discharge of obligations by you in respect of our dealings with you.
3. However we agree that all the partners have implied authority to act on behalf of the firm and actions of any other partner will be binding on the firm.

Thanking you,

	Names of all Partners	Signatures
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES / TRUSTS ON LETTERHEAD

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS / TRUSTEES OF _____ LTD. / TRUST AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____ 20 _____ AT _____ AM/PM.

RESOLVED THAT the Company / Trust be registered as Client with **Pune e Stock Broking Pvt.Ltd.** Member of The Stock Exchange, Mumbai (BSE), National Stock Exchange of India Ltd. (NSE) at Cash & Derivatives Segments, for the purpose of dealing in equities, derivatives, debentures, debts and other products and the said Member be and is hereby authorised to honour instructions oral and written, given on behalf of the Company / Trust by any one of the following authorised signatories :

Sr. No.	Name	Designation	Specimen Signatures
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____

who are authorised to sell, purchase, transfer, endorse, negotiate and / or otherwise deal with through PUNE e STOCK BROKING PVT. LTD. on behalf of the Company / Trust.

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

RESOLVED FURTHER THAT all the Directors would have authority to act on behalf of the Company and actions of any directors will be binding on the company.

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

Certified true copy

For _____

Director / All Trustees
(Other than mentioned above)

**FORMAT LETTER TO BE VERIFIED FROM THE BANK TO ESTABLISH
OPERATION OF THE BANK ACCOUNT, PERSONAL IDENTITY, SIGNATURE & ADDRESS,
ON COMPANY / FIRM / TRUST LETTERHEAD**

Dated :

To :

Pune e Stock Broking Pvt.Ltd.

1198, Shukrawar Peth, Subhash Nagar,
Lane No. 3, Pune - 411 002.

Dear sir,

This is to certify that the current Account No. _____ of
M/s. _____ having office at
_____ held
M/s. _____ with our branch,
has been active since _____ years / months and the operation of the account has been satisfactory.
We further confirm that the photograph herein bears true likeness to the identity of the above mentioned person :

Signature of the client

1. _____
2. _____

Signed in my presence and
Attested

Name & Sign of the
Branch Manager / Authorised Signatory

Stamp of the Bank Branch

Demat Registration Form

Instructions to the Applicants / BOs for account opening

1. If the Clearing Member is a Sole Proprietor or an individual, then the Corporate Account Opening Form should be filled in.
2. Signatures can be in English, Hindi or any other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signature other than the above mentioned languages must be attested by the Magistrate or a Notary Public or a Special Executive Magistrate under his/her office seal.
3. Details of the Names, Address and Tel.No. etc. of the Magistrate / Notary Public / Special Executive Magistrate are to be provided in case of an attestation done by them.
4. In case of additional signatures, separate annexures should be attached to the application form.
5. In case of applications under a Power of Attorney the relevant Power of Attorney on non-judicial stamp paper of Rs. 100/ or the certified and duly notarized copy thereof, name of the POA, Signature of the POA must be lodged with the DP along with the application.
6. All correspondence / queries shall be addressed to the First / Sole Applicant only.
7. Where the holder is a minor, person law fully entitled to act on behalf of the minor should sign the nomination.
8. Strike off whichever is not applicable.
9. **Following documents submitted by minor**
 - a) Birth certificate of minor. b) Proof of address and identity documents of the Guardian. c) One passport size photograph of minor and one of guardian with guardian's signature across the photograph. Guardian shall sign across the photograph of the minor. d) PAN Card of minor. e) PAN Card of Gaurdian.
10. **Following documents submitted by NRI**
 - a) Proof of Identity (copy of passport / driving license.) b) Proof of foreign address and Indian address (if any). [In the case of an NRI A/c without repatriation, proof of Indian address has to be given.] c) Bank account details. d) Power of Attorney, if any. e) PAN card. f) A declaration duly signed by the NRI that he / she has complied with, and will continue to comply with, FEMA regulations and other applicable laws.
11. Account holder should come with their original documents with one set of photo copy for verification. Original documents will be returned after verification.
12. Bank details should contain MICR code.
13. Account holder should Provide complete address and signature of the witness.
14. Account holder should sign across the affixed photograph in the Application. (Sign should be start from extreme left end in the middle of the photo.
15. The Account holder should submit recent Colour Photograph.
16. All the photo Copies of the documents should be self attested.
17. Account holder should mention Phone no. including STD code or P. P. No. for their own interest and address mentioned in the application should be strictly as per the documents produced for verification.
18. All Correction made by Account holder should be initiated.
19. Agreement Stamp Paper is valid up to six months from the date of stamp.
20. All Rules and Regulations are subject to change from time to time.
21. SMS Alert facility is mandatory.
22. In case of HUF, declaration need to be signed. (Ask for the same.)
23. In case of HUF, all signatures of Karta should be along with rubber stamp.
24. Email ID mandatory.
25. Kindly use Black Pen for signature (Don't use gel pen)

Documents Required for Account Opening

A. Proof of Identity

- I. PAN card with photograph - **Mandatory**
- II. Voter ID Card
- III. Driving License
- IV. Passport
- V. MAPIN Card
- VI. Identity card / document with applicant's photo, issued by :
 - a) Central/State Government and its Departments
 - b) Statutory/Regulatory Authorities
 - c) Public Sector undertakings
 - d) Scheduled Commercial banks
 - e) Public Financial Institutions
 - f) Colleges affiliated to Universities
 - g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc, to their members
 - h) Credit Cards/Debit Cards issued by Banks with photo

B. Proof of address

- I. Ration Card
- II. Passport
- III. Voter ID Card
- IV. Driving License
- V. Bank Pass Book
- VI. Verified copies of
 - a) Electricity bills (not more than two months old)
 - b) Residence Telephone bills (not more than two months old) and
 - c) Leave and License Agreement / Agreement for sale
- VII. Self declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- VIII. Identity card/document with address, issued by :
 - a) Central/State Government and its Departments
 - b) Statutory/Regulatory Authorities
 - c) Public Sector undertakings
 - d) Scheduled Commercial banks
 - e) Public Financial Institutions
 - f) Colleges affiliated to Universities
 - g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc, to their members

Depository Account Opening Document (AOD) - Checklist (Investor)

Name of the Document	Accepted	Name of the Document	Accepted
Address Proof	<input type="checkbox"/>	HUF Declaration	<input type="checkbox"/>
Indentity Proof	<input type="checkbox"/>	Fax Indemnity (Optional)	<input type="checkbox"/>
Proof of Bank Acccount	<input type="checkbox"/>	DP Agreement	<input type="checkbox"/>
Total No. Signature	<input type="checkbox"/>	Power of Attorney agreement	<input type="checkbox"/>

Cheque favouring **"Pune e Stock Broking Pvt. Ltd."** Ch. No. _____
 Ch. dt.: ____ / ____ / 20 ____ Amt. : _____
 Bank _____ Branch : _____

' In Person' verification done by

Name of the staff : _____ **Signature** _____

For DP's use only

Received / entered / checked by :

Authorised By : _____

Application Form for Opening a Demat Account

Please fill all the details in BLOCK LETTERS in English

Application No. / Internal Ref. No.

Depository Participant : CDSL
Depository Participant ID : 12058100
DP SEBI Regn. No. : IN-DP-CDSL - 481 - 2008

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

Account No.	1	2	0	5	8	1	0	0									
-------------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

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

(To be filled by the Depository Participant)

Type of Account (Please tick whichever is applicable)

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

Sole / First Holder's Details

First Name	Mr. / Mrs. / Ms.															
Middle Name																
Last Name																
Suffix	Father/Husband Name :										Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female				
Correspondence Address											Permanent Address (If Different from correspondence Address)					
City																
Pin Code											City					
State											Pin Code					
Country											State					
Telephone No.											Country					
Fax No.											Telephone No.					
P. A. N. / G. I. R. No.											Mobile					
E-mail ID											E-mail ID					
Date of Birth/Incorporation	D	D	M	M	Y	Y	Y	Y	Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify) _____						
Occupation	Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body } <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____															
Nature of business : (Products / services provided)																
Financial Details :	Income Range per annum : <input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs.1,00,001 to Rs. 2,00,000 <input type="checkbox"/> Rs.2,00,001 to Rs. 5,00,000 <input type="checkbox"/> More than Rs. 5,00,000															

Instructions for the Applicants

1. Signatures can be in English, Hindi or any other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signature other than the above mentioned languages must be attested by the Magistrate or a Notary Public or a Special Executive Magistrate under his/her office seal.
2. Details of the Names, Address and Tel. No. etc. of the Magistrate / Notary Public / Special Executive Magistrate are to be provided in case of an attestation done by them.
3. In case of additional signatures, separate annexures should be attached to the application form.
4. In case of applications under a Power of Attorney the relevant Power of Attorney on non-judicial stamp paper of Rs. 100/ or the certified and duly notarized copy thereof, name of the POA, Signature of the POA must be lodged with the DP along with the application.
5. All correspondence / queries shall be addressed to the First / Sole Applicant only.
6. Strike off whichever is not applicable.
7. The following documents are to be submitted by the Corporates :
Certified true copy of Board Resolution for persons authorised to act as Authorised Signatory(ies) Memorandum and Articles of Association of the Company.
One Passport size Photograph of each authorised signatory (across signed).
8. In addition the following documents are to be submitted by CMs, FIIIs, NRIs and OCBs :
Proof of NRI Status
Copy of Certificate or Registration with SEBI (where applicable).
Copy of RBI Approval for FIIIs, NRIs and OCBs.
BOs desiring to have their cash corporate benefits like dividend, interest etc. on a repatriable basis, must forward a certified true copy of RBI approval to each of the RTAs/Issuers where the BO is holding the securities clearly mentioning their BO Id and DP Id.
9. Account holder should come with their original documents with one set of photo copy for verification. Original documents will be returned after verification.
10. Bank details should contain MICR code.
11. Account holder should Provide complete address and signature of the witness.
12. All the photo Copies of the documents should be self attested.
13. Account holder should mention Phone no. including STD code or P.P.No. for their own interest and address mentioned in the application should be strictly as per the documents produced for verification.
14. All Correction made by Account holder should be initiated.
15. All Rules and Regulations are subject to change from time to time.
16. In case of SMS Alert facility **Annexure-A** need to be signed. (Ask for the same.)
17. Copy of PAN Card is mandatory.
18. Address proof of the applicant identity is required.
19. Bank passbook / latest bank statement / Name printed cancelled cheque required.
20. Tariff structure with signature of all holders is required .
21. Instructions slip book request is required.
22. Rs 100 stamp paper for agreement is required.
23. For fax indemnity Rs 200 stamp paper required(Optional).
24. Power Of Attorney on Rs 100 stamp paper is required(Optional).
25. Cheque of Amount Rs.2000/- favouring “**PUNE e STOCK BROKING PVT LTD** ” is required.

Application Form for Opening a Demat Account

(For entities other than Individuals / HUF)

(To be filled by **Pune e Stock Broking Pvt Ltd**)

D D M M Y Y Y Y

Application No.		Date										
DP Internal Reference No.												
DP ID	1	2	0	5	8	1	0	0	Client ID			

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

We request you to open a Demat Account in our name as per the following details: -

Name											
Search Name											
Correspondence Address											
City								State			
Country								PIN			
Telephone No.								Fax No.			
PAN											
E-mail ID											
Registered Office address (if different from Correspondence Address)											
City								State			
Country								PIN			
Telephone No.								Fax No.			
E-mail ID											

Type of Account (Please tick whichever is applicable)

Status	Sub – Status
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify)	To be filled by the DP
Date of Incorporation	
SEBI Registration No. (If Applicable)	SEBI Registration date
ROC Registration No. (If Applicable)	ROC Registration date
RBI Registration No. (If Applicable)	RBI Approval date
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)
I / We authorize you to receive credits in my / our account without any instruction from me / us.	[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

Joint Holder Details

Name of Second Holder		Mr./Mrs./Ms.									
Middle Name											
Last Name											
Permanent Address	<input type="checkbox"/> Please tick if address is same as corresspondce / Permanent address of first holder.										
City		Pin Code									
State		Country									
Tel No.		Fax No.									
Mobile No.		E-mail ID									
Father / Husband Name			Date of Birth	D	D	M	M	Y	Y	Y	Y
P. A. N. / G. I. R. No.			Nature of business : (Products / services provided)								
Occupation	Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body } <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____										
Name of Third Holder		Mr./Mrs./Ms.									
Middle Name											
Last Name											
Permanent Address	<input type="checkbox"/> Please tick if address is same as corresspondce / Permanent address of first holder.										
City		Pin Code									
State		Country									
Tel No.		Fax No.									
Mobile No.		Email ID									
Father / Husband Name			Date of Birth	D	D	M	M	Y	Y	Y	Y
P. A. N. / G. I. R. No.			Nature of business : (Products / services provided)								
Occupation	Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body } <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____										

Guardian Details (If Sole / First Holder is a Minor, photograph of guardian has to be affixed along with minor's photograph.)

Guardian's Name			
Relationship with the Applicant			
Correspondence Address			
City		Pin Code	
State		Country	
Telephone No.		Fax No.	
Mobile No.		PAN No.	
E-mail ID			

For NRIs / Foreign National

Foreign Address			
City		Pin Code	
State		Country	
Tel.No. / Mob.No.		Fax No.	
Currency		RBI Reference No.	

I/We authorise you to receive credits in my/our account without any instruction from me/us		<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		
I / We request you to send Electronic Transaction-cum-Holding Statement at Sole / First Holders Email ID stated in the Account Opening Form or at _____		<input type="checkbox"/> Yes	<input type="checkbox"/> No

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

Do You wish to receive dividend / interest directly into your bank account given below through ECS?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
---	------------------------------	-----------------------------

Bank Details

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

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 (ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or)
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.
 ➤ In case of options (ii), (iii) and (iv) MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO

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

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
	(Please sign across the Photograph)	(Please sign across the Photograph)	(Please sign across the Photograph)

Agreement Between A Participant And Person Seeking To Open A Beneficial Owner's Account

This Agreement made and entered into at _____ this _____ day of _____, 201____, between **Pune e Stock Broking Pvt. Ltd.** , having its registered office at 1198, Shukrawar Peth, Subhash Nagar, Lane No. 3, Pune - 411 002. , hereinafter called **"the Participant"** of the One Part; And _____ having his / her / its residence / office /registered office address at _____ hereinafter called **"the Beneficial Owner"** of the Other Part.

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded herein below :

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

General Clause

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

Fees, Charges and deposits

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid ¹[not exceeding 18%] per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his / its account at the end of every month

if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

- 3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.

- 3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

Beneficial Owner shall intimate change of particulars

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

Depository not liable for claims against Beneficial Owner

5. CDSL shall not be liable to the Beneficial Owner in any manner toward losses, liabilities and/or expenses arising from the claims of third parties or for any fees,

charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account

Authorised Representative

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorised by it, who shall represent and interact on its behalf with Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Closure of Account

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

Stamp Duty

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

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agree-ment or for any harm, loss, damage or injury caused to the other due to causes reasonable beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott,

interruption or failure of any utility service, enemy action, criminal con-spiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

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

Arbitration

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

Jurisdiction

12. The parties hereto agree to submit to the exclusive Jurisdiction of the courts in **PUNE**.


Governing Law

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

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

SIGNED AND DELIVERED **Pune e Stock Broking Pvt. Ltd.**
by the withinnamed the
Participant / by the hand of
its authorised representative

(Authorised Signatory)

SIGNED AND DELIVERED 1st Holder 
by the withinnamed the
Beneficial Owner

2nd Holder 

3rd Holder 

In the presence of Name : _____

(1st Witness) Add. : _____

Sign. : _____

In the presence of Name : _____

(2nd Witness) Add. : _____

Sign. : _____

POWER OF ATTORNEY FOR PAY-IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT/MARGIN

TO ALL TO WHOM THESE PRESENTS SHALL COME I Name of the First Holder

Name of Second Holder

Name of Third Holder

(*name of the BO*) Indian inhabitant SENT GREETINGS. **Whereas** I hold a Beneficiary account no. **1 2 0 5 8 1 0 0** (BO-ID) with Central Depository Services (India) Limited, through **Pune e Stock Broking Pvt. Ltd.** bearing DP-ID **12058100**

And Whereas I am an investor engaged in buying and selling of securities through **Pune e Stock Broking Pvt. Ltd.**, a member of National Stock Exchange of India Ltd., bearing SEBI Registration No. INB 231289233, SEBI Registration No. INF 231289233, SEBI Registration No. CDS INE 231289233 & Bombay Stock Exchange Ltd. bearing SEBI Registration No. INB 011289239, SEBI Registration No. INF 011289239

And Whereas due to exigency and paucity of time, I am desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my behalf for a limited purpose in the manner hereinafter appearing. NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT

Pune e Stock Broking Pvt. Ltd. as my true and lawful attorney (hereinafter referred to as the attorney) for me and on my behalf and in my name to do instruct the aforesaid Depository Participant to debit securities and /or to transfer securities from the aforesaid account for the purpose of delivering the same to the clearing house of the recognized stock exchange toward any segment in respect of securities sold by me through them or to meet margin obligations by delivering the securities to the beneficiary/margin account of the attorney. This authority is restricted to the pay in obligations arising out of the transaction of sale effected by me through **Pune e Stock Broking Pvt. Ltd.** or meet margin obligations, and I ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named herein above in the manner specified herein.

I further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I have given to the Depository Participant in writing to the contrary.

SIGNED AND DELIVERED

By the within named Beneficial Owner

1ST HOLDER

2ND HOLDER

3RD HOLDER

IN THE PRESENCE OF (Witness)

Name : _____ Add. : _____ Sign. : _____

I Accept

Pune e Stock Broking Pvt. Ltd.

POA w.e.f. ____/____/201 POA Reg. No. _____

(Authorised Signatory)

Pune e Stock Broking Pvt. Ltd.

1198, Shukrawar Peth, Subhash Nagar, Lane No. 3, Pune - 411 002. INDIA

To,

Pune e Stock Broking Pvt. Ltd.

1198, Shukrawar Peth, Subhash Nagar,

Lane No. 3, Pune - 411 002.

Date : _____

HUF DECLARATION (Only for HUF A/c.)

As our **HUF** firm wishes to Open Demat Account with your co in the said name

We want to say that the first signatory to this letter i.e. _____ is the Karta of the joint family and other signatories and the adult co-parceners of the said family. We further confirm that the business of the said joint family is carried on mainly by the said karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the company from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the karta, including the share of minor co-parceners. We hereby undertake to inform the company of the death or birth of a co-parceners of any change occurring at any time in the membership of our joint family during the operation of the account. So we all Adult & Minor co parceners appoint our karta to give power of attorney for paying obligation arising out of the transaction of sale effected by me through Pune e Stock Broking Pvt. Ltd. (Name of Clearing Member) and I/We ratify the instructions given to the aforesaid Depository Participant named herein above in the manner specified herein. I/we further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue I/We have given to the participant.

Name of Karta _____ Sign. with stamp _____

Name & Signature of Adult Co-parceners

SR. NO.	NAME	RELATIONSHIP WITH KARTA	DATE OF BIRTH	SIGN

Name & dates of birth of Minor Co-parceners

SR. NO.	NAME	RELATIONSHIP WITH KARTA	DATE OF BIRTH	SIGN

To,
Pune e Stock Broking Pvt. Ltd.
1198, Shukrawar Peth,
Pune - 411 002.

Re : Beneficial Owner (BO) Account No.

1	2	0	5	8	1	0	0								
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I/We _____

[names (s) of the BO(s)] had entered into agreement dated ____/____/201____ with you at the time of opening of the aforesaid BO account. Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

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

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

Yours faithfully,



1ST HOLDER



2ND HOLDER



3RD HOLDER

Email ID : _____

First Delivery Instruction Slip Book Request

Date : _____

Ref. : Client ID :

1	2	0	5	8	1	0	0								
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Name of Client : (1) _____

(2) _____

(3) _____

With reference to the above , kindly issue _____ book to me/ us or bearer of this Requisition Slip

Signature of A/c holder/s (1) _____

(2) _____

(3) _____

I/We have received DIS Book contained slip no. from _____ to _____



☐ Signature of Receiver ☐ By Courier

Nomination Form

Dear Sir/Madam,

I/We the Sole Holder / Joint Holder / Guardian (In case of minor) hereby declare that :

- ☐ I/We **do not wish to nominate any one for this demat account**
[Strike out what is not applicable.] [Signature of all account holders should be obtained on this form.]
- ☐ I/We **nominate** the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details

BO ID	1	2	0	5	8	1	0	0									
Name of the Sole / First Holder																	
Name of Second Holder																	
Name of Third Holder																	

Nominee details

Full Name																		
Address	<input type="checkbox"/> Please tick if Nominee address is same as first holder																	
Tel. No. / Mob. No.											Email ID							
Relationship with BO (If any)																		
Date of Birth (If nominee is a minor)	D	D	M	M	Y	Y	Y	Y										

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

Full Name																			
Address																			
City											PIN								
State											Country								
Age						Email ID						Tel. No.							

To receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder or the death of all the Joint Holders. This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

Place : _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature			

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

Acknowledgement Receipt

Received nomination form from:

DP ID	1	2	0	5	8	1	0	0	Client ID										
Name																			
Address																			
Nomination in favor of	<input type="checkbox"/> Does not wish to nominate																		
No Nomination																			
Registration No.											Registered on	D	D	M	M	Y	Y	Y	Y

Depository Participant Seal and Signature

Details of the Witness

	First Witness	Second Witness
Name of Witness		
Signature of Witness		
Address of Witness		

Nomination accepted and registered wide Registration No. _____ dated : ____ / ____ / 201__

For Pune e Stock Broking Pvt. Ltd.

Authorised Signatory

DP ID	1	2	0	5	8	1	0	0	Client ID								
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	First / Sole Holder	Second Holder	Third Holder
Name			
Specimen Signatures			

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

Acknowledgement Receipt

Application No. / Internal Ref. No.

Date	D	D	M	M	Y	Y	Y	Y
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We hereby acknowledge the receipt of the Account Opening Application Form From :

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

Depository Participant Seal and Signature

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

Definitions :

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

- "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400 001 and all its branch offices and includes its successors and assigns.
- "DP" means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat account for investor.
- "BO" means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
- SMS means "Short Messaging Service"
- "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
- "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
- "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

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

Receiving Alerts :

- The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
- The BO acknowledges that the alerts will be received only if the mobile phone is 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
- The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on may factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
- The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and / or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
- The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO agrees to an

ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.

- The BO agree to inform the depository and DP in writing of any unauthorised debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no revers communication between the service provider and the depository.
- The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
- The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
- If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees :

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

Disclaimer :

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

Liability and Indemnity :

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

Amendments :

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

Governing Law and Jurisdiction :

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

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

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

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

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

I/We provide the following information for the purpose of **Registration / modification** (Please cancel whichever is not applicable.)

BOID

1	2	0	5	8	1	0	0								
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(Please write your 8 digit ClientID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

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

The mobile number is registered in the name of : _____

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

Sole / First Holder

Second Holder

Third Holder



Financial Planning

IPO / NFO

*Insurance

Broking

Mutual Fund

*Research

*Associate Company

Depository Services

Currency Derivative

*Commodities



PESB
Your trust is our capital

Pune e Stock Broking Pvt. Ltd.

Regd. Office:

1198 Shukrawar Peth Subhash Nagar Lane No. 3 Pune 411 002

Tel: +91 20 41000600 Fax: +91 20 24498100

info@pesb.co.in www.pesb.co.in