

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



Place for
Intermediary Logo

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender ☐ Male ☐ Female B. Marital status ☐ Single ☐ Married C. Date of Birth

3. Nationality ☐ Indian ☐ Other (Please specify)

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village State Country Pin Code

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD) Mobile (ISD) (STD) Fax (ISD) (STD) E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village State Country Pin Code

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information:

DECLARATION

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

Place:

Date:

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

IPV Done ☐ on

AMC/Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

1. 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.



KYC Details Change form (For Individuals Only)



Place for
Intermediary Logo

Application No. :

Please fill this update / modification form in ENGLISH and in BLOCK LETTERS (Please strike off Sections that are not used).

A Name of Applicant (Mandatory as per original KYC records)

Title ☐ Mr. ☐ Ms. ☐ Other (Please specify) _____ Aadhaar Number, if any: _____ PAN _____

Name _____

Date of Birth

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

Please Provide the new KYC details which should be updated in your KYC records.

B. Mandatory fields for KYCs done before 1st January 2012

1. Father's/Spouse Name _____

2. Current Marital status ☐ Single ☐ Married

3. Current Nationality ☐ Indian ☐ Other (Please specify) _____

Note "FOR OFFICE USE ONLY": The IPV Column should be mandatorily filled for all KYCs registered before 1st January 2012. Originals Seen and Verified should be mandatorily filled for changes to Identity and Address details.

C. Identity Details (please see guidelines overleaf)

1. New Name (As appearing in supporting identification document).
Name _____

2. New Status Please tick (✓) ☐ Resident Individual ☐ Non Resident (Passport Copy Mandatory for NRIs & Foreign Nationals)

3. PAN _____ Please enclose a duly attested copy of your PAN Card

4. Proof of Identity submitted for PAN exempt cases Please Tick (✓)
☐ Aadhaar Card ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others _____ (Please see guideline 'D' overleaf)

D. Address Details (please see guidelines overleaf)

1. New Address for Correspondence

City / Town / Village										Pin Code									
State										Country									

2. Contact Details

Tel. (Off.)	(ISD)	(STD)	Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)	Fax	(ISD)	(STD)
E-Mail Id.					

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

4. New Permanent Address of Resident Applicant if different from above C1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village										Pin Code									
State										Country									

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.
☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify) _____
*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

6. Any other information: _____

SIGNATURE OF APPLICANT

Old signature as per original KYC
Wherever Applicable

DECLARATION

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

Place: _____

Date:

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

SIGNATURE OF APPLICANT



FOR OFFICE USE ONLY

IPV Done ☐ on

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

AMC/Intermediary name OR code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

1. Aadhaar Number / 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.

TRADING ACCOUNT RELATED DETAILS

BANK ACCOUNT(S) DETAILS					
Bank Name	Branch Address	Bank Account No.	Account Type	NEFT / IFSC Code	Tick any one for Default a/c

DEPOSITORY ACCOUNT(S) DETAILS					
Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)	Tick any one for Default a/c

TRADING PREFERENCES	
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.	
Exchanges	Segments
National Stock Exchange (NSE)	<div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> Cash <input checked="" type="checkbox"/> _____ </div> <div style="width: 35%;"> F&O <input checked="" type="checkbox"/> _____ </div> </div>
Bombay Stock Exchange (BSE)	Cash <input checked="" type="checkbox"/> _____

OTHER DETAILS	
Gross Annual Income Details	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 – 5 Lac <input type="checkbox"/> 5 – 10 Lac <input type="checkbox"/> 10 – 25 Lac <input type="checkbox"/> Above 25 Lac
Net-worth in Rs. [Net worth should not be older than 1 year] as on (Date)	D D M M Y Y Y Y
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify)
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)

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

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS	
If client is dealing through the sub-broker, provide the following details:	
Sub-broker's Name	
SEBI Registration Number	
Registered office address	
Telephone No.	Fax No. 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: _____	

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):													
Number of years of Investment/Trading Experience:													
Any other information:													
PREFERENCE TO RECEIVE STANDARD DOCUMENTS													
Whether you wish to receive the Rights and Obligations, Risk Disclosure Document(s) and Guidance Note in physical or Electronic form (please tick):													
Electronic form								Physical form					
INTRODUCER DETAILS (optional)													
Name of the Introducer													
Status of the Introducer (please specify)		<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others											
Address of the Introducer													
City						State							
Country						PIN							
Telephone No.						Mobile No.							
Signature of the Introducer													
NOMINEE DETAILS													
<input type="checkbox"/> I/We wish to nominate						<input type="checkbox"/> I/We do not wish to nominate							
Name of the Nominee													
Relationship with the Nominee													
PAN of Nominee						Date of Birth		D	D	M	M	Y	Y
Address of the Nominee													
City						State							
Country						PIN							
Telephone No.						Mobile No.							
If nominee is a minor, details of Guardian:													
Name of Guardian													
Address of Guardian													
City						State							
Country						PIN							
Telephone No.						Mobile No.							
Signature of Guardian													
WITNESSES (Only applicable in case the account holder has made nomination)													
		First Witness				Second Witness							
Names of Witness													
Address of Witness													
Signature of Witness													

DECLARATION	
1.	I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2.	I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3.	I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
<div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 45%;"> <p>Signature of Client</p> <p>Date : _____</p> </div> <div style="width: 45%; text-align: right;"> <p>Place : _____</p> </div> </div>	

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			
<p><i>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.</i></p>			
<p>Signature of the Authorised Signatory</p> <p>Date : _____</p>		<p>Seal/Stamp of the stock broker</p>	

INSTRUCTIONS / CHECK LIST	
1. Additional documents in case of trading in derivatives segments - illustrative list:	
Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.
<p><i>*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.</i></p>	
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code / IFSC Code of the bank should be submitted.	
3. Demat master or recent holding statement issued by DP bearing name of the client.	

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

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

DISCLOSURE OF PROPRIETARY TRADING BY MEMBER TO CLIENT

With a view to increase the transparency in the dealings between the stock broker and the clients, o3 Securities Private Limited hereby notifies to the clients that we are engaged in proprietary trading as well apart from client based business.

POLICIES AND PROCEDURES

This document outlines various policies and procedures framed and followed by o3 Securities Private Limited (hereinafter referred to as "Member") with respect to its dealing with its clients as a Stock Broker on National Stock Exchange of India (hereinafter referred to as "NSE") / The Stock Exchange, Mumbai (hereinafter referred to as "BSE"). All prospective constituents should read this document before trading on Capital Market/Cash Segment or F&O segment of the Exchanges. The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of o3 Securities Private Limited, depending upon regulatory changes, its risk management framework, other market conditions etc. Any change or revision of the said policies and procedures will be made available on the Company's website www.o3securities.com.

1. REFUSAL OR ORDERS FOR PENNY STOCKS AND/OR ILLIQUID STOCKS/ CONTRACTS/ OPTIONS

In view of the risks associated in dealing with Penny Stocks and/or Illiquid Stocks/Contracts/Options Member would generally advise its clients to desist from trading in such securities. Further, SEBI/Exchanges may issue circulars/guidelines necessitating exercising additional due diligence by the clients, for dealing in such securities.

1.1 A security may be treated as Penny Stocks/Illiquid Stocks/Contracts/Options if it falls in any one of the below mentioned categories:

- 1.1.1 Securities (with face value of Rs.10 or more) traded at less than Rs.10/- on any of the Exchanges.
- 1.1.2 Securities appearing in the list of illiquid securities issued by the Exchanges periodically.
- 1.1.3 Securities forming part of Trade-to-Trade settlement.
- 1.1.4 Securities forming part of Z group in BSE.
- 1.1.5 Illiquid options/far month options/long dated options.
- 1.1.6 Any other stocks/contracts/options as may be decided by o3 Securities as volatile or subject to market manipulation or have concentration risk at client level or at the security level or any other reason.

1.2 The category/criteria mentioned above are an indicative list and may change from time to time at the sole and absolute discretion of Member.

1.3 Trading in such securities will be allowed to the client at the sole and absolute discretion of Member and may be blocked in normal trading system. Member may restrict the quantity of such securities if the client is allowed to trade as it may deem fit. The Member may further insist upto 100% advance pay-in of funds/securities before allowing trades in such securities.

1.4 Under no circumstances, Member shall be responsible for non-execution/delay in execution of such orders and consequential opportunity loss or financial loss to the client.

2. MARGINS AND EXPOSURE LIMITS

2.1 All Margins shall be paid by the Client in the form of Funds (which shall hereinafter mean and include account payee cheques, bankers cheques, demand

drafts, pay orders and telegraphic, telex or wire transfers, but not cash or currency) / Securities.

In case where the payment by the Client towards the margin is made through an account payee cheque issued in favour of the Member, the Member may at its discretion, only upon the realization of the funds of the said cheque, would execute any trade(s) of the Client.

2.2 Margin in the form of Securities:

2.2.1 The Client may place margin with the Member in the form of securities if approved by the Member and the Stock Exchange. The Member may prescribe the list of select dematted securities eligible for acceptance as margins. This list may be revised, modified or replaced by the Member from time to time without giving any notice to the Client and the Client shall accordingly replace the securities (placed as margins) with the Member within the time specified by the Member. Such securities may be either placed in a separate Demat account titled "o3 Securities Private Limited" OR in a separate DP account that may be opened by the Client for the purpose with the necessary Power of Attorney executed in favour of the DP and/or the Member.

2.2.2 The Client agrees and authorizes the Member to determine the market value of securities placed as Margin after applying a haircut that the Member deems appropriate. The Client's positions are valued at the latest market price available (marked to market) on a continuous basis by the Member. The Client undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the Client agrees to replenish any shortfall in the value of the Margins immediately, whether or not the Member intimates such shortfall.

2.2.3 All corporate benefits, including but not restricted to Bonus/Right Shares accruing on the Securities so deposited shall be credited into the aforesaid depository account or to the Client's trading account as the case may be, unless otherwise agreed to by the Member, and shall constitute margin for the Clients trades/transactions.

2.2.4 The Member may, at its sole discretion, prescribe that the payment of Margin money for further trades shall be in the form of Funds instead of securities. The Client accepts to comply with the Member's requirement of payment of Margin in the form of Funds immediately failing which the Member may sell,

dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off/sale shall be borne by the Client, and the Member is hereby fully indemnified and held harmless by the Client in this behalf.

2.3 Margin with Stock Exchange :

The Client agrees that the Member may in its turn place any of the securities placed by him/her/it as Margin by way of pledge or hypothecation or margin on his behalf with exchanges to meet its own obligations, as the Member may deem fit. The Client authorizes the Member to do all such acts, deeds and things as may be necessary and expedient for the above purpose.

2.4 The Client is responsible for all orders, including any orders that may be executed without the required Margin in the Client's account. If the Client's order is executed despite a shortfall in the Margin, the Client shall, whether or not the Member intimates such shortfall in Margin to the Client, instantaneously make up the shortfall either through delivery of shares in the event of a sale or credit the required funds in the Client's account via wire transfers or payee cheques, bankers cheques or pay order or account transfer or any other mode.

2.5 Any reference in these terms to sale or transfer of securities by the Member shall be deemed to include sale of the securities, which form part of the Margin, maintained by the Client with the Member. In exercise of the Member's right to sell securities as provided in this the Agreement, the choice of specific securities to be sold shall be that of the Member.

2.6 In case of the Client undertaking the transactions simultaneously in Cash and Derivatives Segments, the Client specifically agrees:

2.6.1 That the shares received from the stock exchange in the pay out of Cash segment may at discretion of the Member be transferred to the Client's Derivatives Margin Account to be utilized as margin for the Derivatives transactions that the Client may undertake.

2.6.2 That the Client authorizes the Member to transfer such shares purchased by the Client in the Cash Segment to the Clearing Member/Exchange towards margin requirements for Client's derivative transactions as the Member may deem fit or expedient.

2.6.3 The Client understands that the release of the shares held as aforesaid (as margin) and the transfer of the same to the Client's designated DP account would take up to four days and in this view, the Client agrees to give instruction to square off the relevant derivatives transaction (or

to roll over the same) at least four days before the settlement date for the derivatives segment.

2.6.4 The Client further agrees not to hold the Member responsible for the delay that may occur due to the reasons beyond the reasonable control of the Member.

Exposure Limits:

2.7 While setting up the exposure limits for and on behalf of the clients, Member broadly takes into consideration the regulatory requirement, client profile, internal risk management policy, market conditions, etc. Based on the following parameters the exposure limit for a client would be setup:

2.7.1 Exposure limits to the client will be provided based on the available margin in the client's broking/trading account

2.7.2 Available margin for the purpose of granting exposure is calculated as a sum of free credit balance, margin in the form of funds, securities, bank fixed deposit, bank guarantee etc. of the client available with Member, and the value of securities held in the client's DP account that may be opened by the Client for the purpose with the necessary Power of Attorney executed in favour of the DP and/or the Member.

2.7.3 The exposure limits will be a certain multiple of the available margin. Such multiplier will be at the discretion of the Member and may vary from client to client.

2.7.4 The Member at its sole and absolute discretion, may allow higher exposure limits to the client.

2.7.5 The Member at its sole discretion depending on market conditions, profile and track record of the client, type and nature of scrip, etc., may revise/withdraw the margin benefit on securities given as margin, multiplier for granting exposure limits and take such steps as Member may deem fit.

2.7.6 The Client shall abide by the exposure limit set at the sole discretion of the Member and will not raise any concern/dispute.

3 BROKERAGE AND OTHER CHARGES

3.1 In consideration of providing broking and allied services, the Client shall pay brokerage fees and other charges and levies to the Member as per KYC and as they apply to his Account, transactions, and services that the Client receives from the Member, which shall, however, be subject to variation from time to time.

3.2 The brokerage rates agreed will be communicated to the client by way of Welcome letter dispatched along with the copies of KYC. In case of any discrepancies in the brokerage rates the client shall revert within 7 days of receipt of the Welcome letter.

3.3 The brokerage rate will be exclusive of the following taxes/charges:

✕

- 3.3.1 Service Tax, Education Cess and Secondary & Higher Education Cess
- 3.3.2 Transaction Charges / Clearing Charges / Turnover Tax
- 3.3.3 SEBI Turnover fees
- 3.3.4 Stamp duty as applicable
- 3.3.5 Securities Transaction tax
- 3.3.6 Any other charges towards customized/ specialized service
- 3.4 The Client also agrees to pay any applicable taxes including but not restricted to Service tax and CESS, Stamp duty, Transaction Charges, SEBI fees, Securities Transaction tax as the case may be, that may be levied on the transaction.
- 3.5 A schedule of fee and commission, applicable service taxes and other transaction expenses shall be provided to the Client from time to time upon request
- 3.6 The Client also agrees to pay the Member for added services / facilities / features as they may apply to his Account and which will be communicated to the Client.
- 3.7 The Member agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.
- 4 IMPOSITION OF PENALTY/DELAYED PAYMENT**
 - 4.1 The Exchanges/Clearing Corporation/SEBI levies penalties on the Stock broker for irregularities observed by them during the course of business. The Member shall recover such imposed penalties/levies, if any, from the client which arise on account of dealings by such client by way of debit in the ledger of the client account.
 - 4.2 The Client shall ensure that the required margins (including but not limited to initial margin, mark to market and/or other margins), any outstanding settlement obligations and/or any other dues payable to Member are paid within the time period stipulated by the Exchanges/Member, whichever is earlier.
 - 4.3 In the event of any non-payment of the required margins/settlement obligations within the stipulated time period by the client the Member shall have absolute discretion to charge and recover the delayed payment charges from the client at 2% per month or at such rate/manner/intervals as may be determined by the Member from time to time for the delayed period.
 - 4.4 The delayed payment charges is only a penal measure. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a perennial basis citing levy of delayed payment charges.
 - 4.5 The client will not be entitled to any interest on the credit balance/surplus margin available with the Member.
- 5 THE RIGHT TO SELL CLIENTS' SECURITIES OR CLOSE CLIENTS' POSITIONS WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON-PAYMENT OF CLIENTS' DUES**
 - 5.1 The Client hereby agrees to maintain the requisite upfront/initial margins prior to execution of any orders/trades/deals with the Member. The required margin will be made available to Member in such form and manner as may be prescribed by the SEBI/Exchanges/Member.
 - 5.2 The Client shall also fulfill all margin/settlement obligations which arise on account of dealings within the stipulated time period as specified by the Exchanges/Member, whichever is earlier.
 - 5.3 Without prejudice to its other rights and remedies available under the member client agreement(s) executed by and between the client and Member or at law, Member shall be entitled, in its sole and absolute discretion, to liquidate/close out all or any of the client's open/outstanding position, sell the clients' securities available with Member and/or held in the client's DP account for which power of attorney is granted in favour of Member at any time to recover its dues without giving any notice to the client in the following circumstances:
 - 5.3.1 In the event of non-payment of any margin, settlement obligations and/or other liabilities due to Member within the stipulated time period as specified by the Exchanges/Member, whichever is earlier.
 - 5.3.2 In the event that the market value of the client securities available as margin, for any reason fall or circumstances arise which may in the sole opinion of Member jeopardize its interest and expose it to any financial loss or damage.
- 6 SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES**
 - 6.1 It is agreed that in case of purchase of securities by the Client, if the Member is unable to deliver the securities on the pay-out day due to non-receipt of the securities from another Client of the Member who has sold the securities against the said purchase transaction, such client will receive the credit for the transaction at the rates computed as follows:
The transaction will be closed out either at 10% above the closing rates of the securities on the auction day or Highest rate of the securities from the trade day till auction day, whichever is higher.
 - 6.2 Accordingly, if a client fails to give the delivery of the securities sold, which if resulted into internal shortage, such client will be debited for the transaction at the rates prescribed above.
- 7 CONDITIONS UNDER WHICH THE CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR MEMBER MAY CLOSE THE EXISTING POSITION OF A CLIENT**

- 7.1 If the Client fails to maintain the requisite margin in such form and manner as may specified by SEBI/Exchange/Member from time to time.
 - 7.2 If the Client fails to fulfill all margin/settlement obligations which arise on account of dealings within the stipulated time period as specified by the Exchanges/Member, whichever is earlier.
 - 7.3 **In case of Purchase** : In case of purchase on behalf of Client, the Client authorizes the Member to close out the transactions by selling the securities in case the Client fails to make full payment to the Member for the execution of the contract within two days of trade execution or before pay-in-day (as specified by the Exchanges), whichever is earlier, unless the Client already has an equivalent credit with the Member. The loss incurred in this regard, if any, will be met from the margin money of the Client. The Client agrees to make good the shortfall, if any, immediately on being intimated of the shortfall by the Member.
 - 7.4 **In case of Sale** : In case of sales on behalf of Client, the Client authorizes the Member to close out the contract by effecting purchases if the Client fails to deliver the securities sold with valid transfer documents within two days of the trade execution or before delivery day (as specified by the Exchanges), whichever is earlier. Cost of the transaction (i.e. closeout), will be deductible from the margin money of the Client. The Client agrees to make good the shortfall, if any, immediately on being intimated of the shortfall by the Member.
 - 7.5 Securities/F&O contracts banned by the regulatory authorities.
 - 7.6 Any ban imposed on the client by the regulatory authorities.
 - 7.7 If the name of the client apparently resembles with the names appearing in the list of debarred entities furnished by SEBI/Exchanges (where no information other than name is available).
 - 7.8 In the event of death or insolvency of the client or the client otherwise becoming incapable or receiving and paying for or delivering or transferring securities which the client has traded.
 - 7.9 The client fails to furnish documents/information as may be called for by Member from time to time as per regulatory requirement and/or as per its internal policy.
 - 7.10 Depending on market conditions, profile and track record of the client, type and nature of scrip or circumstances arise which may in the sole opinion of Member jeopardize its interest and expose it to any financial loss or damage may close the existing position without waiting for the pay-in schedule of the Exchange.
- 8 **TEMPORARILY SUSPENDING OR CLOSING CLIENT'S BROKING ACCOUNT AT THE CLIENT'S REQUEST**
 - 8.1 If a client intends to temporarily suspend or close his/her/its broking account, a written request has to be submitted in the form and format as may be prescribed by the Member. The request can be submitted to the servicing branch/sub-broker/head office of Member.
 - 8.2 The client should ensure that all amount due and payable to Member are paid prior to suspension/closure of broking account. The Member will process the suspension/ closure request within 7 days of the receipt of the request from the client where no dues are outstanding.
 - 8.3 If the client wishes to reactivate the broking account then a written request has to be submitted to Member. Such request for reactivation should be accompanied along with the documentary evidence as may be specified by Member from time to time.
 - 9 **TREATMENT OF INACTIVE CLIENTS' ACCOUNT**
 - 9.1 Any client who has not traded in any segment on any of the Exchanges with the Member for one year period from the last traded date or inception day will be termed as Inactive/Dormant client account.
 - 9.2 If the client is identified/tagged as a Inactive/Dormant account, then the funds and securities of such client will be returned/refunded to the clients' at his/her/its last known bank account/DP account as per the Member record.
 - 9.3 The broking account of such client shall be deactivated/suspended temporarily by Member.
 - 9.4 The Inactive/Dormant client account will be reactivated based on a written request from the client. Such request for reactivation should be accompanied along with the documentary evidence as may be specified by Member from time to time.
 - 10 **DEREGISTERING A CLIENT**

Without prejudice to its other rights and remedies available under the member client agreement(s) executed by and between the client and Member or at law, Member may forthwith, at its sole and absolute discretion, de-register the client with/without prior notice/intimation in the following circumstances:

 - 10.1 Where the client indulges in any irregular trading activities like synchronized trading, price manipulation, trading in illiquid securities/options/contracts, self trades, trading in securities at prices significantly away from market prices, etc.,
 - 10.2 Any inquiry/investigation is initiated by the Exchanges/regulators against the client.
 - 10.3 Any regulatory action taken/initiated against the client by the Exchanges/regulators including but not limited to debarring the client.

- 10.4 Where the name of the client apparently resembles with the names appearing in the list of debarred entities furnished by SEBI/Exchanges (where no information other than name is available)
- 10.5 Where the name of the client appears in database/websites of CIBIL, Watch Out Investors, World check, SEBI debarred list, UNSC etc.
- 10.6 The client having suspicious background or link with suspicious organization.
- 10.7 Where the client is non-traceable, has pending disputes with the Member, possibility of a default by the client.
- 10.8 Upon receipt of the written information about the death of the client.
- 10.9 Any other circumstances leading to a breach of confidence in the client for reasons such as undelivered couriers, recurrent cheque bouncing, or not furnishing the financial and other details as may be called for by Member from time to time.
- 10.10 In any of the above circumstances, if the client is able to justify his/her/its innocence either by producing any documentary evidence or otherwise to the full satisfaction of Member, the Member may reconsider its decision of de-registering the client. However in no circumstances any action taken by Member till the date of re-registration shall be challenged by the client and Member shall not be liable to the client for any loss or damage, which may be caused to the client as a result.

I have read and understood the policies and procedures stated hereinabove. I hereby agree to abide by the same.

Signature of the Client:  _____

Date: ____ / ____ / ____

TARIFF SHEET

CASH SEGMENT

BROKERAGE	RATE %	MINIMUM (Ps.)	APPLICABLE ON
Intraday Trading			Each Side
Delivery Based			Each Side

F&O SEGMENT

BROKERAGE	RATE %	MINIMUM PER LOT (Rs.)	APPLICABLE ON
Futures Trading			Each Side
Options Trading			Each Side

OTHER CHARGES *

CHARGES			APPLICABLE ON	
			BUY SIDE	SELL SIDE
CGST			9.00	Yes
SGST			9.00	Yes
IGST / UGST			18.00	Yes
Transaction	Cash	0.00325	Yes	Yes
	Futures	0.0019	Yes	Yes
	Options	0.05	Yes	Yes
Clearing	Futures	0.001	Yes	Yes
	Options	0.03	Yes	Yes
Stamp Duty	Cash	0.003	Yes	Yes
	Futures	0.003	Yes	Yes
	Options	0.003	Yes	Yes
Sebi Turnover Fees		0.00015	Yes	Yes
Securities Transaction Tax (STT)	Cash	Trading	0.025	Not Applicable
		Delivery	0.1	Yes
	Futures		0.01	Not Applicable
	Options		0.05	Not Applicable
	Exercise of Options		0.125	Yes (when exercised)

* Note: Subject to statutory/regulatory changes

FOR OFFICE USE ONLY

	Proposed By	Approved By	Updated By
Name of the Employee			
Designation of the Employee			
Signature			



o3 SECURITIES PRIVATE LIMITED

No.27, Magrath Road, Bangalore - 560001

Phone : +91 80 42410000 Fax : +91 80 42410022

SEBI Reg. No. IN-DP-CDSL-533-2010 DP ID No.12063500

Website: www.o3securities.com Email: helpdesk@o3securities.com

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

☐ Resident Individuals ☐ Non Resident ☐ Foreign National

(To be filled by the Depository Participant)

Application No.								Date	D	D	M	M	Y	Y	Y	Y	
DP Internal Reference No.																	
DP ID	1	2	0	6	3	5	0	0	Client ID								

Type of Account (Please tick whichever is applicable, change in Status not allowed)

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

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

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

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

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

Guardian Details (in case the account holder is minor)			
Guardian's Name		PAN	
Relationship with the applicant			

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes (default) <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any further instruction from my / our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No (default)

Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation (default) <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 Email ID _____		<input type="checkbox"/> Yes (default) <input type="checkbox"/> No		
I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No		
I / We would like to receive the Annual Report (If not marked, the default option would be in 'Physical')	<input type="checkbox"/> Physical (default) <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic			

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

Bank Details [Dividend Bank Details]											
Bank Code (9 digit MICR code)											
IFSC Code (11 character)											
Account number											
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)										
Bank Name											
Branch Name											
Bank Branch Address											
City								PIN			
State						Country					

- (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, (or)
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.
 ➤ In case of option (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details	
Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs.1,00,001 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,001 to Rs.10,00,000 <input type="checkbox"/> Rs.10,00,001 to Rs.25,00,000 <input type="checkbox"/> More than Rs.25,00,000
	Net worth as on (Date) D M Y Rs.
	[Net worth should not be older than 1 year]
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify)
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
Any other information:	

SMS Alert Facility Refer to Terms & Conditions given as Annexure – A	MOBILE NO. +91 _____ [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail this facility, cancel this option.)									
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – B	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I / We wish to register the following clearing member Ids under my / our below mentioned BO ID registered for TRUST <table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)								
easi	To register for easi , please visit CDSL's website: www.cdslindia.com . easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

Nomination Details:

Nomination Registration No.		Date	D	D	M	M	Y	Y	Y	Y
-----------------------------	--	------	---	---	---	---	---	---	---	---

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

- ☐ I/We **do not wish to nominate any one for this demat account.**
- ☐ I/We **nominate** the following person(s) who is/are entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:	_____	_____	_____
Middle Name:	_____	_____	_____
*Last Name	_____	_____	_____
*Address:			
*City:			
*State:			
*Pin:			
*Country:			
Telephone No:			
Fax No:			
Nomination Details	Nominee 1	Nominee 2	Nominee 3
PAN No:			
UID :			
Email ID:			
*Relationship with the BO:			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy:			
Name of the Guardian of Nominee (if the nominee is minor):			
*First Name:	_____	_____	_____
Middle Name:	_____	_____	_____
*Last Name	_____	_____	_____
*Address of the Guardian of nominee:			
*City:			
*State:			
*Country:			
*Pin:			
Age			
Telephone:			
Fax No:			
Email ID:			

*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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


*** Marked is Mandatory field**

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

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

Details of the Witness		
	First Witness	
Names of Witness		
Address of Witness		
Signature of Witness		

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

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

(Signatures should be preferably in blue ink)

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the

basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

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

Statement of account

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

Manner of Closure of Demat account

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

Default in payment of charges

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

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

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

Freezing/ Defreezing of accounts

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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



Signature(s) Sole / First Holder

Second holder

Third Holder

Place: _____

Date: ____ / ____ / ____

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

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

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

Availability:

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

Receiving Alerts:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below.

I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/ our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time.

I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

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

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

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

BO ID

DP ID	1	2	0	6	3	5	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent


+91											
-----	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of: _____

Email ID: _____

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

 _____
Signature(s) Sole / First Holder Second holder Third Holder

Place: _____ Date: ____ / ____ / ____

o3 SECURITIES PRIVATE LIMITED
No.27, Magrath Road, Bangalore - 560001
Phone : +91 80 42410000 Fax : +91 80 42410022

SCHEDULE OF CHARGES CDSL DP ID No.12063500

Charge Head	Charges	
	Account with POA	Account without POA
AMC (Individual)	Rs.250 per annum	Rs.300 per annum. To be paid at the beginning of the year. At the time of new account opening AMC to be paid upfront.
AMC (Corporate)	Rs.1000 per annum	Rs.1000 per annum. To be paid at the beginning of the year. At the time of new account opening AMC to be paid upfront.
Debit Transaction charges		
Market	Rs.15 per transaction	Rs.25 per transaction
Off Market/ Interdepository	Rs.15 per transaction	0.04% of the transaction value subject to a minimum of Rs.25
Pledge Charges Creation/Closure and Confirmation of both	Rs.50 per transaction	Rs.50 per transaction
Pledge Charges for Invocation	0.05% of the transaction value subject to a minimum of Rs.50	0.05% of the transaction value subject to a minimum of Rs.50
Dematerialization Charges	Rs.2.00 per certificate plus courier charges of Rs.50 per demat request	Rs.2.00 per certificate plus courier charges of Rs.50 per demat request
Rematerialization Charges	Rs.25 per certificate	Rs.25 per certificate
Failed / Rejected Transactions	Nil	Rs.25 per transaction
Demat Rejection charges	Rs.50 per rejection	Rs.50 per rejection
Cheque Bounce charges	Charges will be applied based on charges as determined by our bankers	Charges will be applied based on charges as determined by our bankers

Note:

- All charges would attract the service tax /cess /levies and / or other such taxes as applicable from time to time.
- All payments have to be made favouring **o3 Securities Private Ltd.** via Cheques/DDs payable at the local branch where the account is opened. Outstation cheques will not be accepted.
- All the percentages in the above structure would be applied on the value of the transaction as computed by the depository.
- Out of Pocket expenses incurred on the Dispatch of securities for Dematerialisation and communication charges incurred on out-station calls/faxes made specifically on request of the client will be charged on actuals.
- Charges are subject to revision at the company's sole discretion and as per revisions in CDSL after providing a notice period of 30 days. Such revisions will be notified by ordinary post / courier.
- DP bills should be paid on or before the due date. Interest shall be levied @ 1.5% per month on outstanding amount for non-payment from the bill due date. Pursuant to Clause 19 of the Rights and Obligation, in case of non-payment of DP charges within the due date, DP reserves the right to discontinue operation of the demat account till such time that the payment is received.
- For all purposes the Bill date shall be construed as the date of demand and the bill will be considered as the **Bill cum Notice** for payment and, o3 Securities Private Ltd reserves the right to "freeze depository account for debit transactions", in case of non payment of charges after two days from the Bill due date.
- Any advance payments over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount shall be adjusted against the bills raised from time to time.



Signature(s) Sole/ First Holder

Second Holder

Third Holder

To:

Date: ____ / ____ / ____

o3 Securities Private Limited
#27, Magrath Road,
Bangalore - 560 001

Dear Sir,

Sub : Application for Opening of NRI/FN/FCB account

Ref : Application No. _____

This has reference to my/our application for opening of a trading and/or demat account with you.

In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.

Yours faithfully,

 _____

Signature(s) Sole / First Holder

Second holder

Third Holder

VOLUNTARY DOCUMENT

Voluntary Document

To:

Date: ____ / ____ / ____

o3 Securities Private Limited
#27, Magrath Road,
Bangalore - 560 001

Dear Sirs,

Sub : Authority to debit my/our Brokerage Account no. _____ for Depository Charges

Ref : Beneficial Owner (BO) Account No. 12063500 _____

I/We hereby authorize you to debit all the charges, if any, payable by me/us in respect of my/our depository account opened with you to my/our aforesaid Brokerage Account with you. I/We hereby declare and undertake to remit the amount of debit to my/our Brokerage Account within 15 days of I/We being notified about the same, failing which o3 Securities Private Ltd reserves the right to "freeze depository account for debit transactions".

Yours sincerely,

Signature of Client:  _____

Name of Client : _____

Voluntary Document

To:
o3 Securities Private Limited
#27, Magrath Road,
Bangalore - 560 001

Date: ____ / ____ / ____

Dear Sirs,

Subject : Issuance of Digital Contract Notes, Statements and Communications

I understand that digital contract notes is a specialized service offered by the member which is optional in nature and this document has been signed by me voluntarily without any coercion or force. I also understand that I have a right to terminate this document. However in such an event this facility shall be liable to be terminated.

I agree and permit the Member to provide digitally signed contract notes through internet (web-based) at the following email-ID which belongs to me:

EMAIL-ID: _____

- (i) I shall access the contract notes/confirmations of the trades executed on my behalf on the trade date electronically. I understand that it is my responsibility to review all confirmations, contract notes, statements, notices and other communications including but not limited to margin and maintenance calls, etc. All information contained therein shall be binding on me, if I do not object, either in writing or via electronic mail within 24 hours after any such documents are available to me.
- (ii) Should I experience any difficulty in opening a document electronically delivered by the Member, the Member may, on receipt of intimation from me in that behalf, make the required delivery by any other electronic means (e-mail, fax, electronic mail attachment, or in the form of an available download from the back-office website) or in paper based format. Failure by me to advise the Member of such difficulty within 24 hours after delivery shall serve as an affirmation that I was able to receive and open the said document on the internet.
- (iii) I agree not to receive the contract notes in paper form from the Member. Provided however that in case when the Member is not able to provide Contract Note to me through (web based) electronic medium due to any unforeseen problems, the Member would ensure that the contract note reaches me in physical form as per the time schedule stipulated in the Bye-Laws, Rules and Regulations of the Exchanges
- (iv) I shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password which secure my email-ID. Unless I lodge complaint with the Member as to my inability to access system, it would be presumed that contract notes and all have been properly delivered
- (v) I agree that the Member fulfils its legal obligation to deliver to the Client any such document if sent via electronic delivery and the Member has not received any report indicating bouncing back of such electronic delivery
- (vi) I agree that as an alternative to the e-mail communication and/or in case of non-receipt of the digital contract note through e-mail I shall utilize the facility of accessing the website hosted by the Member to access the contract note.
- (vii) I agree that in any change in the Email-ID specified above shall be communicated by me to the Member in writing.
- (viii) I request you allocate a login and mail the password to me for accessing your website to download my contract notes and my statements.

Yours sincerely,

Signature of Client:  _____

Name of Client : _____

Voluntary Document

To:
o3 Securities Private Limited
#27, Magrath Road,
Bangalore - 560 001

Date: ____ / ____ / ____

Dear Sir,

Subject : Electronic Payout Request

I understand that the Electronic Payout is a specialized service offered by the trading member which is optional in nature and this document has been signed by me voluntarily without any coercion or force. I also understand that I have a right to terminate this document. However in such an event this facility shall be liable to be terminated.

I furnish below the details of my bank account to enable transfer of funds payable to me against sale of securities:

A/c in the name of : _____ Name of Joint Account holder, if any : _____

Bank : _____ Branch : _____ IFSC Code : _____

Account No. _____ Type of a/c : Savings/Current/NRI Others (Specify) _____

I hereby declare that the particulars mentioned above are correct and complete and I request o3 Securities Private Limited to transfer funds against payments due to me into the above mentioned Bank Account until further information from me. I agree that the above facility is being provided to me at the instance of o3 Securities Private Limited and it can be discontinued / withdrawn by o3 Securities Private Limited at it's discretion at any point of time.

The above instructions are subject to the following :

1. The transfer of funds to my bank account will continue to be governed by the terms and conditions as per Member Client Agreement entered into between o3 Securities Private Limited and myself
2. I shall review upon first receipt, all transfers of funds made into the aforesaid bank account. In case funds payment is not received in my account on the due date then I will lodge a formal written complaint with o3 Securities Private Limited within two days. In all other cases, it may be assumed that the funds have been received by me. In all cases, o3 Securities Private Limited will reserve the right to determine the validity of any complaint regarding transfer of funds to the said bank account.
3. If transaction is delayed or not effected at all for reasons of incomplete or incorrect information or problem with banking system, I would not hold o3 Securities Private Limited responsible.

Yours sincerely,

Signature of Client:  _____

Name of Client : _____

Voluntary Document

To:
o3 Securities Private Limited
#27, Magrath Road,
Bangalore - 560 001

Date: ____ / ____ / ____

Dear Sir,

Subject : Running Account Authorization

I understand that maintenance of running account is a specialized service offered by the member which is optional in nature and this document has been signed by me voluntarily without any coercion or force. I also understand that this authorization would continue until it is revoked and I have a right to terminate this document at any time.

For the purpose of my comfort and operational convenience, I authorize you to maintain a running account instead of settlement to settlement payout of funds or delivery of securities to me. All funds and securities kept to my credit by you, may be treated as upfront margins and / or security or interest free deposit, at your discretion, for allowing exposure to me. Under this arrangement made at my specific request, I shall not claim any interest on the funds and securities kept in running account with you.

I hereby authorize you to keep the payout / margin money deposited by me with you in my account for meeting all my future obligations and for providing limits for trading purpose on the basis of this deposit. These funds can be released to me as and when requested by me in writing subject to availability of free and unutilized balance after taking into consideration all open positions and dues relating to my delivery positions.

I also authorize you to keep my securities received in the payout in your pool or beneficiary account with a DP as security margin for availing limit for trading purpose and further authorize you to utilize the same to meet my existing and future pay-in obligations with you.

I understand and agree that as per the guidelines by SEBI vide circular no. MIRSD/SE/Cir-19/2009 dated December 3, 2009 the actual settlement of funds and securities shall be done by the Member at least once in a calendar quarter or month. I would prefer to settle my trading account once in a calendar (tick any one):

- ☐ Month Or
☐ Quarter

Further, I also understand and agree that the member may retain the amount if the actual settlement of funds is up to Rs.10000/- (net amount across segment and across stock exchanges).

Yours sincerely,

Signature of Client:  _____

Name of Client : _____

Voluntary Document

To:

Date: ____ / ____ / ____

o3 Securities Private Limited

#27, Magrath Road,

Bangalore - 560 001

Dear Sir,

OPTION FORM FOR ISSUE OF DIS BOOKLET


DP ID	1	2	0	6	3	5	0	0	Client ID								
Name of First Holder																	
Name of Second Holder																	
Name of Third Holder																	

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

☐ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with o3 Securities Private Limited for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully,


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

OR

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with o3 Securities Private Limited for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully,

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

Annexure B

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
 13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
 14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
 15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
 16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
 17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer:

Depository shall be absolved of any liability in case:-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.



Signature(s) Sole / First Holder

Second holder

Third Holder

Place: _____

Date: ____ / ____ / ____

VOLUNTARY DOCUMENT

POWER OF ATTORNEY

KNOW ALL MEN BY THESE PRESENTS THAT I/We, Sole/First Holder _____ ^x, Second holder ^x _____, Third Holder _____ residing at _____ ^x

do hereby nominate, constitute and appoint o3 Securities Private Limited a body corporate, registered/incorporated under the provisions of the Companies Act, 1956, having its registered office at #27, Magrath Road, Bangalore – 560 001 acting through any of its Directors and/or officers duly authorized by it for the purpose, as my/our true and lawful Constituted Attorney (hereinafter referred to as “the said Attorney”) and authorize it on my/our behalf to do all or any of the following acts, deeds and things:


- (1) To operate depository account no. 12063500_____ held by me/us maintained with the said Attorney, and instruct the aforesaid Depository Participant to debit securities and/or transfer shares/securities from my/our depository account and to credit the depository accounts of o3 Securities Private Limited, for the purpose of delivering the same to the clearing house of the recognized stock exchange toward any segment in respect of margin/delivery obligations arising out of the trades executed by me through them. The particulars of the depository accounts of o3 Securities Private Limited are mentioned below:

Depository	CLIENT ID / BOID	DP Name
NSDL	11464356	IL&FS Securities Private Limited
NSDL	11460289	IL&FS Securities Private Limited
NSDL	11462475	IL&FS Securities Private Limited
NSDL	11460684	IL&FS Securities Private Limited
CDSL	1206350000000050	o3 Securities Private Limited
CDSL	1206350000000027	o3 Securities Private Limited
CDSL	1206350000000012	o3 Securities Private Limited

- (2) To add / remove the names of authorized persons, viz., directors, employees and other persons as the Board of Directors of o3 Securities Private Limited may authorize from time to time.
- (3) To do, perform and execute all such other acts, deeds, instruments, matters and things on my/our behalf as the said Attorney may think fit to carry out all such activities of settlement of trades executed by o3 Securities Private Limited on my/our behalf pursuant to our instructions.

I/We authorize the attorney to exercise all the above rights and powers as mentioned with respect to my/our depository account and return to me/us the Securities that may have been received erroneously or those securities that o3 Securities Private Limited was not entitled to receive from me/us.

The Power of Attorney shall continue to be in full force and effect until revoked by me/us in writing; or in the event of my/our death/insolvency/winding up until o3 Securities Private Limited shall have received actual notice thereof.

 _____
Signature(s) Sole / First Holder


Second holder

Third Holder

I/We agree that o3 Securities Private Limited shall not be bound to release any and all such Securities held in our depository account with o3 Securities Private Limited until all outstanding settlement obligation arising out of the trades/transactions carried out prior to receiving request for revocation of this Power of Attorney have been fully settled by me/us.

I/We hereby agree that all such acts done by the said attorney shall be deemed to be acts done by me/us, myself/ourselves and if Necessary, shall be ratified by us on instructions of the said attorney. This document shall be subject to the jurisdiction of the Courts in Bangalore.

IN WITNESS WHEREOF, I/We set my/our hands at this_____day of_____20_____.

 _____	_____	_____
Signature(s) Sole / First Holder	Second holder	Third Holder
Witness Name : _____	Witness Name : _____	
Witness Signature : _____	Witness Signature: _____	
Witness Address : _____	Witness Address : _____	

For **o3 Securities Private Limited,**

Signature of Attorney

SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA & CRS - SELF CERTIFICATION FORM FOR INDIVIDUALS

[Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance]

A. FATCA & CRS INFORMATION (SELF CERTIFICATION)

PAN										No.						
Name																
Type of Address given at KRA	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Registered Office												
Nationality				Gender				Date of birth	D	D	M	M	Y	Y	Y	Y
Mobile				Place of Birth				Country of Birth								
Father's name	(mandatory if PAN not provided)															
Spouse's name																
Documents required (if PAN not provided)	<input type="checkbox"/> Passport	<input type="checkbox"/> Election ID Card	<input type="checkbox"/> Govt. ID Card	<input type="checkbox"/> Driving License	<input type="checkbox"/> UIDAI Card	<input type="checkbox"/> NREGA Card	<input type="checkbox"/> Others									
Identification number of the document provided																

Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? ☐ Yes ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

S No	Country of Tax Residency#	Tax Payer Identification Number ^	Identification Type [TIN or other, please specify]
1			
2			
3			

to Include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

^ In case Tax Identification Number is not available, kindly provide its functional equivalent*

B. ADDITIONAL KYC INFORMATION

Occupation Details [Please tick (✓)]	<input type="checkbox"/> Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculture <input type="checkbox"/> Proprietorship <input type="checkbox"/> Others _____ (please specify)
Gross Annual Income (Rs.) [Please tick (✓)]	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 - 5 Lacs <input type="checkbox"/> 5 - 10 Lacs <input type="checkbox"/> 10 - 25 Lacs <input type="checkbox"/> >25 Lacs - 1 Crore <input type="checkbox"/> > 1 Crore
OR	
Net-worth (Mandatory for Non-Individuals)	Rs. _____ as on DD MM YYYY (Not older than 1 year)
Politically Exposed Person (PEP) Status (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)	<input type="checkbox"/> I am PEP <input type="checkbox"/> I am Related to PEP <input type="checkbox"/> Not Applicable

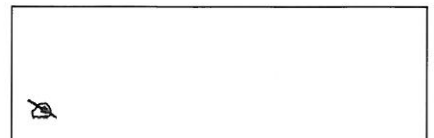
C. Declaration:

I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform o3 Securities Private Limited for any modification to this information promptly. I/We further agree to abide by the provisions of the 'Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI)'.

Date:

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

Place: _____



Details under FATCA & CRS

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

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

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

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

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

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND Any one of the following documents: <ol style="list-style-type: none"> Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below)
Telephone number in a country other than India	<p>If no Indian telephone number is provided</p> <ol style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below) <p>If Indian telephone number is provided along with a foreign country telephone number</p> <ol style="list-style-type: none"> Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR Documentary evidence (refer list below)
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol style="list-style-type: none"> Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and Documentary evidence (refer list below)

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

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

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