

**ANNEXURE – 1
INDEX OF DOCUMENTS**

A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
S.N.	Name of the Document	Brief Significance of the Document	Pg. No
1.	Account Opening Form	A. KYC & CKYC form - Document captures the basic information about the constituent and an instruction/check list.	2-9
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	10-11
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	12-16
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	17-20
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	21-22
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	23-25
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	26
B. VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
1.	Running Account Authorisation	This letter is authorisation to maintain fund, securities on running account basis & for authorisation to receive contract as well other relevant documents.	27
2.	ECN Letter	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	28
3.	Debit authorisation letter	This letter authorises DP to debit charges of demat account to trading account	29
4.	Letter for Operations of Account	This letter is for smooth functioning of account	29-30
5.	Authorisation for SMS/ E mail alert	Authorization to receive SMS & Email alerts from stock exchanges.	31
6.	Common Mobile & E mail id	As per format	31
7.	Letter for dealing in Mutual Fund Schemes-BSE Star MF	This letter is for dealing in units of Mutual Fund.	32
8.	Letter for dealing in Mutual Fund Schemes - NSE Star MF / Scores	This letter is for dealing in units of Mutual Fund / Redressal System for Scores	33-34
9.	Link Aadhaar Number	As per format	56
C. DP SECTION:			
1.	Checklist & DP FORM	Document captures checklist & additional information about the constituent relevant to DP account opening form	36-38
2.	Power of Attorney	Authorisation for Payouts directly from DP account.	39-40
3.	Nomination Form	Nomination form for all three holders	41-42
4.	SMS Alert	This contains term & conditions regarding SMS alert	43-44
5.	Rights & Obligations	Rights & Obligations of Bo & Dp as per SEBI	45-46
6.	BASDA & Option Form for DIS	BASDA declaration & DIS booklet for PMS client.	47-48
7.	Declaration in case of HUF	This letter facilitates HUF to open a demat account.	49
8.	Schedule of Charges (CDSL)	Document detailing the charges levied on the client of various categories.	50-51
9.	e-Statement of account & Declaration for NRI / FN	To receive statement of a/c. like holding/transaction/ledger/bills/debit notes/credit note in electronic mode & FEMA	52
10.	FATCA	As per format	53-55

DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003
Dalal & Broacha Stock Broking Pvt. Ltd. caters to Institutional, Corporate, High net-worth and other retail clients through membership of various exchanges. Dalal & Broacha Stock Broking Pvt. Ltd. besides doing client based business also does its own investment and/or trading.
For Dalal & Broacha Stock Broking Pvt. Ltd.

"Proprietary Trading Disclosure noted"

Director/Authorised Signatory (Kirit Shah)

Client's Signature



First Holder's Signature

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (Please submit the KYC documents on A4 size paper only)

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. UID/Passport/Voters Identity Card/Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/Flat Maintenance bill/Insurance

Copy/Unique Identification Number (UID) (Aadhaar).

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL

MANDATORY

**(First Holder)
Dalal & Broacha Stock Broking Pvt. Ltd.**



Important Instructions:

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

For office use only

Application Type* New Update

(To be filled by financial institution) KYC No. _____ (Mandatory for KYC update required)
Account Type* Normal Minor Aadhaar OTP based E-KYC (in non-face to face mode)

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name*				
Date of Birth*	__-__-____			

Gender* M- Male F- Female T-Transgender
 Marital Status* Married Unmarried Others
 PAN* _____ Form 60 furnished
 Citizenship* IN-Indian Others (ISO 3166 Country Code ____)
 Residential Status* Resident Individual NRI Foreign National Person of Indian Origin

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

(Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

<input type="checkbox"/> A- Passport Number	_____	 Sign across Photo
<input type="checkbox"/> B- Voter ID Card	_____	
<input type="checkbox"/> C- Driving Licence	_____	
<input type="checkbox"/> D- NREGA Job Card	_____	
<input type="checkbox"/> E- National Population Register Letter	_____	
<input type="checkbox"/> F- Proof of Possession of Aadhaar	X X X X X X X X _____	
<input type="checkbox"/> E- KYC Authentication	X X X X X X X X _____	
<input type="checkbox"/> Offline verification of Aadhaar	X X X X X X X X _____	

Address

Line 1* _____
 Line 2 _____
 Line 3 _____

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

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)
 Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/> A- Passport Number	_____
<input type="checkbox"/> B- Voter ID Card	_____
<input type="checkbox"/> C- Driving Licence	_____
<input type="checkbox"/> D- NREGA Job Card	_____
<input type="checkbox"/> E- National Population Register Letter	_____

CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL

MANDATORY

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.

- F) Please read section wise detailed guidelines / instructions at the end.
- G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.
- J) The 'OPT based E-KYC' check box is to be checked for accounts opened using OTP based EKYC in non face to face mode.

(Second Holder)
Dalal & Broacha Stock Broking Pvt. Ltd.



For office use only

Application Type* New Update

(To be filled by financial institution) KYC No. _____ (Mandatory for KYC update required)
 Account Type* Normal Minor Aadhaar OTP based E-KYC (in non-face to face mode)

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
PAN*			<input type="checkbox"/> Form 60 furnished	
Citizenship*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> NRI	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

(Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

<input type="checkbox"/> A- Passport Number	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>
<input type="checkbox"/> C- Driving Licence	<input type="text"/>
<input type="checkbox"/> D- NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E- National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F- Proof of Possession of Aadhaar	X X X X X X X X <input type="text"/>
<input type="checkbox"/> E- KYC Authentication	X X X X X X X X <input type="text"/>
<input type="checkbox"/> Offline verification of Aadhaar	X X X X X X X X <input type="text"/>



Address

Line 1*

Line 2

Line 3

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

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/> A- Passport Number	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>
<input type="checkbox"/> C- Driving Licence	<input type="text"/>
<input type="checkbox"/> D- NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E- National Population Register Letter	<input type="text"/>

- F- Proof of Possession of Aadhaar X X X X X X X X
- II E- KYC Authentication X X X X X X X X
- III Offline verification of Aadhaar X X X X X X X X
- IV Deemed proof of Address - Document Type code

Address

Line 1*

Line 2

Line 3

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

4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID) (Please refer instruction C at the end)

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

Email ID

5. REMARKS (If any)

6. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. Incase any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: - - Place:

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

- Documents Received Certified Copies E-KYC data received from UDAI Data received from Offline verification Equivalent e-document

Pos Code: **120000162**

IPV Done on / /

KYC VERIFICATION CARRIED OUT BY

Date: - -

Emp. Name:

Emp. Code:

Emp. Designation:

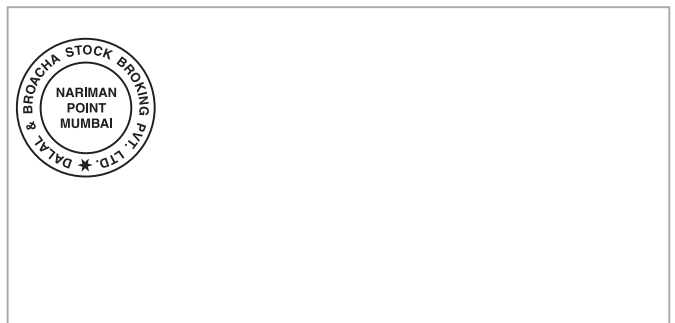
Emp. Branch:

INSTITUTION DETAILS

Name **Dalal & Broacha Stock Broking Pvt. Ltd.**

Code **I N 0 2 4 6**

[Employee Signature]



CENTRAL KYC REGISTRY - KNOW YOUR CLIENT (KYC) APPLICATION FORM - INDIVIDUAL

MANDATORY

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.

- F) Please read section wise detailed guidelines / instructions at the end.
- G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.
- J) The 'OPT based E-KYC' check box is to be checked for accounts opened using OTP based EKYC in non face to face mode.

Dalal & Broacha Stock Broking Pvt. Ltd. (Third Holder)



For office use only

Application Type* New Update

(To be filled by financial institution) KYC No. _____ (Mandatory for KYC update required)
 Account Type* Normal Minor Aadhaar OTP based E-KYC (in non-face to face mode)

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	____	____	____	____
Maiden Name	____	____	____	____
Father / Spouse Name*	____	____	____	____
Mother Name*	____	____	____	____
Date of Birth*	____	____	____	____

Gender* M- Male F- Female T-Transgender
 Marital Status* Married Unmarried Others
 PAN* _____ Form 60 furnished
 Citizenship* IN-Indian Others (ISO 3166 Country Code _____)
 Residential Status* Resident Individual NRI Foreign National Person of Indian Origin

2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction B at the end)

(Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs))

<input type="checkbox"/> A- Passport Number	_____	 Sign across Photo
<input type="checkbox"/> B- Voter ID Card	_____	
<input type="checkbox"/> C- Driving Licence	_____	
<input type="checkbox"/> D- NREGA Job Card	_____	
<input type="checkbox"/> E- National Population Register Letter	_____	
<input type="checkbox"/> F- Proof of Possession of Aadhaar	X X X X X X X X _____	
<input type="checkbox"/> E- KYC Authentication	X X X X X X X X _____	
<input type="checkbox"/> Offline verification of Aadhaar	X X X X X X X X _____	
Address	Line 1* _____	
	Line 2 _____	
	Line 3 _____	
District*	PIN/Post Code*	State /U. T. Code* ISO 3166 Country Code*

3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

<input type="checkbox"/> A- Passport Number	_____
<input type="checkbox"/> B- Voter ID Card	_____
<input type="checkbox"/> C- Driving Licence	_____
<input type="checkbox"/> D- NREGA Job Card	_____
<input type="checkbox"/> E- National Population Register Letter	_____

A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: **Mother's name, Spouse's name, Father's name.**

B Clarification / Guidelines on filling 'Current address details' section

- 1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address'.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

C Clarification / Guidelines on filling 'Contact details' section

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

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

For Individuals

**ANNEXURE – 3
TRADING ACCOUNT RELATED DETAILS**

MANDATORY

BANK ACCOUNT(S) DETAILS																	
No.	MICR No.					Bank Name, Branch Add.	A/c Type	Account No.					IFSC Code				
1																	
2																	
Please provide Cancelled Cheque leaf for MICR & IFSC Code																	
DEPOSITORY ACCOUNT(S) DETAILS																	
Sr. No.	Depository Participant Name					DP ID No.			BO ID			Depository Name					
1*	Dalal & Broacha Stock Broking Pvt. Ltd.					12011700						CDSL					
1*												NSDL/CDSL					
2												NSDL/CDSL					
*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1																	
TRADING PREFERENCES																	
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.																	
Ex. Segment	Cash					Derivatives					Other Segments						
BSE	<input checked="" type="checkbox"/> First Holder's Signature					<input checked="" type="checkbox"/> First Holder's Signature											
NSE	<input checked="" type="checkbox"/> First Holder's Signature					<input checked="" type="checkbox"/> First Holder's Signature											
# If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.																	
OTHER DETAILS																	
1. Gross Annual Income details (please specify) : Income Range per annum <input type="checkbox"/> Upto 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"/> Above Rs. 25,00,001/- Net worth as on Date : _____ OR Rs. _____ (Net worth should not be older than 1 year)																	
2. Occupation (please tick any one and give brief details)					<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others												
3. Please tick, if applicable					<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)												
4. Any other information																	
PAST ACTIONS																	
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:																	
DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS																	
If client is dealing through the sub-broker, provide the following details:																	
Name						BSE SEBI Reg. No.											
Regd. Off.						NSE SEBI Reg. No.											
Address						Remisier/AP (BSE)											
						Remisier/AP (NSE)											
Signature Rem/ Sub Brk.					Tel. No.					Remisier/AP							
					Fax No.					Remisier/AP							
					Website					Remisier/AP							
Whether dealing with any other stock broker/sub-broker (if in case dealing with multiple stock brokers/sub-brokers, provide details of all)																	
Name of Stock Broker					Name of Sub-Broker, if any					Client Code					Exchange		
Details of disputes/dues pending from/to such stock broker/sub- broker:																	
ADDITIONAL DETAILS																	
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): <input type="checkbox"/> YES <input type="checkbox"/> NO																	
Specify your Email id, if applicable:																	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): <input type="checkbox"/> YES <input type="checkbox"/> NO																	
Number of years of Investment/Trading Experience:																	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company/firm/others:																	
Any other information																	

Pursuant to SEBI Circular dt.3.8.2018, w.e.f.1.4.2019 Sub-Broker has been migrated to Authorised Person

INTRODUCER DETAILS (Optional)

Name		Signature	
Add. / Tel.		(X)	


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

NOMINATION DETAILS (FOR INDIVIDUAL ONLY)

<input type="checkbox"/> I / We wish to nominate		<input type="checkbox"/> I / We do not wish to nominate	
Name of Nominee		Relation with Nominee	
Address		PAN No.	
		Tel. No.	
If Nominee is a minor, details of Guardian		Date of Birth	
Name of Guardian			
Address & Tel No.		Signature of Guardian	(G)
Witnesses (Only applicable in case the account holder has made nomination)			
Name		Name	
Address		Address	
Signature (W)		Signature (W)	

DECLARATION

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

Client Name		Signature	
Auth. Person			
Place	Date		First Holder's Signature

FOR OFFICE USE ONLY

UCC Code allotted to the Client:		
Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name	For Dalal & Broacha Stock Broking Pvt. Ltd.	Pranali P. Agharkar
Signature		
Designation		
Employee Code	Authorised Signatory (Kirit Shah)	Back Office Executive
Date		

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

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

For Dalal & Broacha Stock Broking Pvt. Ltd.

Director/Authorised Signatory

Date: _____

Signature of the Authorised Signatory

Seal/Stamp of the stock broker



**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS, AUTHORISED PERSONS 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 whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:**1.1 Risk of Higher Volatility:**

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some

securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the 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.bseindia.com/ www.nseindia.com/ www.cdslindia.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.

POLICIES AND PROCEDURES (MANDATORY) OF DALAL & BROACHA STOCK BROKING PVT. LTD. MANDATORY

a. Refusal of orders for penny stocks:

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

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list of illiquid securities is jointly released by NSE & BSE from time to time.)

Dalal & Broacha Stock Broking Pvt. Ltd. recognizes that it is client's privilege to choose shares in which he/she would like to trade. However, Dalal & Broacha Stock Broking Pvt. Ltd. like to have special attention to dealing in "Penny stocks". To this end,

- Dalal & Broacha Stock Broking Pvt. Ltd. may refuse to execute any clients orders in penny stocks without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny stocks" should be referred to Head - Dealing, such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of Dalal & Broacha Stock Broking Pvt. Ltd.
- In case of sale of penny stocks, client should ensure delivery of shares to Dalal & Broacha Stock Broking Pvt. Ltd. before the pay-in date.
- Dalal & Broacha Stock Broking Pvt. Ltd. reserves the right to refuse or restrict the execution of any transaction requests of the Client on certain stocks depending on various conditions like volume, value, illiquidity, even though a client may have credit balance or sufficient margin in the trading account or restrictions in Z group/T group or restrictions on ASM/ GSM securities appearing in SMS list.

b. Setting up client's exposure limit:

- Exposure limit for each client is determined by the Risk management Department based on Net-worth information, client's financial capacity, prevailing market conditions and Margin deposited by client in the form of funds/securities with the Dalal & Broacha Stock Broking Pvt. Ltd. These limits may be set exchange-wise, segment-wise, & scrip-wise.
- Dalal & Broacha Stock Broking Pvt. Ltd. retains the discretion to set and modify from time to time any clients exposure limit decided as above.
- The limits are determined by Risk Management Department based on the above criteria and payment history of the client in consultation with Sales/Sales trader.
- Whenever, any client has taken over or wants to take exposure in any security, Dalal & Broacha Stock Broking Pvt. Ltd. may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients are told to reduce the position immediately or requested to deposit extra margin to meet the shortfall. Otherwise, Dalal & Broacha Stock Broking Pvt. Ltd. may refuse to trade on behalf of such client in its own discretion.

c. Applicable brokerage rate:

- The applicable brokerage rate is mentioned in this document and any future change in the brokerage rate will be communicated to the client.
- The maximum brokerage charge in writing will not exceed the limit as prescribed by SEBI and exchanges.

d. Imposition of penalty / delayed payment charges by either party, Specifying the rate and the period:

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on part of client in satisfying his/her margin obligation or settlement obligations, then, Dalal & Broacha Stock Broking Pvt. Ltd. shall levy interest at the rate of 12% p.a. on such shortage amount for the delayed period on such client. Dalal & Broacha Stock Broking Pvt. Ltd. shall recover such delayed payment charges from the client by debiting the client's account.
- No interest or charges will be paid by Dalal & Broacha Stock Broking Pvt. Ltd. to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

e. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non payment of client's Dues:

We refer to the **SEBI circular No. CIR/HO/MIRSD/DOP/CIR/P/2019/75** on "Handling of Clients' Securities by trading Members/ Clearing Members" dated June 20, 2019 read in line with the updated FAQ's dated 27th Sep 2019, which will be in effect from 1st October 2019. To view this circular SEBI Circular it has necessitated a change in policy and procedures with respect to retention/ handling of securities and square off policy. We hereby communicate the modification in our existing policies and procedures.

Securities handling/ retention policy:

- 1) Entire Securities received in settlement payout will be transferred to the client beneficiary owner account(BO), if the total amount outstanding from the client is realized in full by way of receipt of clear funds, considering the future obligation of unsettled transaction and margin payable on the same.
- 2) In case of partial payment, all the securities shall be retained, however, based on client instruction subject to retention of securities as a collateral for the amount outstanding, excess securities will be transferred to client BO account after applying prevailing hair cut as per scrip category as determined by Dalal & Broacha Stock Broking Pvt. Ltd.

- 3) (a) Clients securities shall be transferred to the CLIENT BENEFICIERY a/c via direct payout or transferred to the " Client Unpaid Securities Account" (CUSA) depending on the discretion of the stock broker. No securities shall be kept in the CUSA beyond 5 days from the date of payout.
(b) We may, however, at our discretion, transfer the unpaid securities to Client BO account in case the client is having BO account with Dalal & Broacha Stock Broking Pvt. Ltd. and has executed POA of the demat account for transferring securities against obligation, in favour of Dalal & Broacha Stock Broking Pvt. Ltd.
- 4) In the event of non-payment, within 5 trading days from the date of pay-out, in proportion to the amount not received and after taking into account any amount lying to the credit of the client, it will be the Broker's discretion to either DISPOSE - OFF/SELL the securities. The balance shall be transferred to the Client Beneficiary Account.
- 5) As the SEBI Circular No.CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20th 2019 read in line with the updated FAQ's dated 27th Sep 2019 mandates liquidation of securities in case of non-payment within 5 working days from the pay-out date, NO PRE-ORDER TRADE CONFIRMATION is required for the same. The Shares lying in the CUSA shall be sold on FIFO basis.
- 6) The client may want to sell some other securities lying in their respective demat account within the 5 days from the payout instead of the securities lying in the CUSA. In this case the client shall do an EARLYPAYIN of these securities to the "Pool Account" of the Broker and give a written consent duly signed by the Trading Account holder for the same. Only after these securities are disposed-off and the formalities are completed to the satisfaction of Dalal & Broacha Stock Broking Pvt. Ltd., the securities in the CUSA shall be transferred to the "Client Beneficiary Account".
- 7) It shall be noted that Dalal & Broacha Stock Broking Pvt. Ltd. shall not allow the client to initiate a buy trade as further exposure shall not be allowed if the old debit is not realized in full by way of receipt of clear funds in the bank account of Dalal & Broacha Stock Broking Pvt. Ltd. or by way of realized payout as a result of liquidation by the Trading Member read in line with the para 2(d) of the SEBI Circular ref No.CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20th 2019 and the FAQ dated 27/09/2019 pt 19 page 7.
- 8) "Client Collateral Account" shall be used for the purpose of holding clients securities for margin purposes or for transferring to the Clearing Members. These securities held in the "Client Collateral Account" shall be released to the clients along with their funds' settlement (i.e. once in every 30/90 days after making the necessary retention in accordance with NSE circular NSE/INSP/36889) dated Feb 2nd 2018. The broker shall retain 225% of securities in client margin a/c in case of debit.
- 9) In case there is a shortfall after the selling of securities from the CUSA the client shall be liable to pay the balance.
- 10) Securities can be transferred from "Client Collateral Account " or " CUSA" to the "Pool Account" for selling the securities.
- 11) In exceptional scenario, where inter-depository transfer is not available i.e. SGB, G-sec,... the client will have to open an account in the relevant Depository.

Square off policy:

- 1) Open positions in CM segment may be squared off on T+7 days in either of following circumstances to the extent of due debit and unsettled obligation amount if any;
 - Ledger Account is in debit for 5 continues days and payment is not realized by the T+6th day, or
 - Securities Remain unpaid on clear fund basis for T+7 days, or
 - Total asset cover (Including shares in BO POA account offered as collateral) to debit falls below 120% on real time basis)
- 2) Payment made to Dalal & Broacha Stock Broking Pvt. Ltd. will be recognized and credited on real time basis such payments made need to be informed to accounts department.
- 3) In case of square off, securities available in unpaid securities account/ client collateral account(s) may be sold proportionate to the outstanding amount or based on liquidity/ depth in market on a FIFO basis.
- 4) On the day of square off, Client will be put on square up mode/100% margin without collateral margin benefit. No fresh exposure will be allowed on square off days unless on receipt of clear funds.

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

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

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

- To determine the net obligation of a broker / trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but due to default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages to fulfill its obligation towards the other client(s). In such situation, Dalal & Broacha Stock Broking Pvt. Ltd. shall endeavor to collect the securities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to deliver the securities within 48 hours, then Dalal & Broacha Stock Broking Pvt. Ltd. shall attempt to purchase the security from the market and deliver it to the purchasing client. If Dalal & Broacha Stock Broking Pvt. Ltd. is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.

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

Dalal & Broacha Stock Broking Pvt. Ltd. shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- If there is shortfall in the margin deposited by client with Dalal & Broacha Stock Broking Pvt. Ltd.
- If there is insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.

- If there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If Dalal & Broacha Stock Broking Pvt. Ltd. has reached its limit in that scrip.
- If the clients has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the ban period.
- If due to abnormal shortfall in the market, if market are closed.
- If the client have not been paid for in full(unpaid securities) shall be transferred to Client Unpaid Securities Account(CUSA) as per SEBI Circular no. 2019/75 dt. 20.6.2019

h. Temporarily suspending or closing a client's account based at the Client's request:

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, any further dealing in such client's account will be blocked. Whenever, any suspended account wants to resume trading, request in writing should be made to management and management may ask for updated financial information & other details for reactivating such account. After receiving necessary documents, details etc. and approval from the management, client is reactivated & is allowed to carry out transaction.
- Similarly, any client desirous of closing his/her account permanently is required to inform in writing and the decision in this regard is taken by management. After necessary approval from the management, the client code is deactivated. Only after scrutinizing the compliance requirements and "no pending queries" confirmation is taken, securities and funds accounts are settled.

i. Deregistering a Client

Dalal & Broacha Stock Broking Pvt. Ltd. may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Dalal & Broacha Stock Broking Pvt. Ltd. may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibiting entities or SEBI debarred list.
- Such client's account has been lying dormant for a long time or client is not traceable.
- Such client has declared insolvent or any legal proceedings to declare him/her as such have been intended.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Dalal & Broacha Stock Broking Pvt. Ltd. or may act as detriment to Dalal & Broacha Stock Broking Pvt. Ltd.'s prospects.

Any outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

J. Policy for inactive /dormant clients account:

- Inactive client means client who is inactive during last 12 months immediately preceding the end of the previous month.
- A list of inactive clients shall be prepared from the back office software on the last day of every month and shall be submitted to the concerned department after confirmation with the management. The management will approve a final list of inactive clients.
- A copy of the list is also forwarded to dealers who operate our BOLT or NEAT terminals.
- The concerned department shall mark the client status as "inactive" or "dormant" in various front office software of CTCL and IML and back office accounting software.
- After inactive marking, if any orders are received, the dealer shall take reasonable steps to identify the identity of the client and to ensure that the orders are received from the same client. The dealer shall use various techniques like call back, asking personal detail questions, last trade date, outstanding positions etc to confirm the identity of the caller. They may use any other technique which is reasonable. In case of a doubt the case shall be referred to the management or concerned Sub-Broker or introducer.
- Dormant client has to update their KYC details at the time of fresh order, if required.
- Dormant client if any, the actual settlement of fund & securities shall be done by every month or quarterly as per norms / guideline provided by the Exchanges / SEBI.
- Dormant client has to update their KYC details at the time of fresh order, If the client wants to make the account "ACTIVE" after 6 continuous months or after providing the required documents supporting the financial status, the client needs to submit a request to reactivate his/her account. In case there is any change in the information such as; address, mobile number, email id, bank/demat account, financial disclosure provided in KYC at the time of registration as client, the same has to be submitted along with the request. After proper verification of the updated I revised details and approval from the compliance officer I or concerned department in-charge of registration of clients, the account can be made "ACTIVE" and transaction can take place.



First Holder's Signature

(Signature of the constituent)

BROKERAGE AND STATUTORY CHARGES

Further, I agree to the following terms of doing business

Segment	Sq. off %		Sq. off Min (ps)		Settlement %		Settlement Min (ps)	Delivery %	Delivery Min (ps)
	Buy	Sell	Buy	Sell	Buy	Sell			
BSE Cash									
BSE F&O									
NSE Cash									
NSE F&O									

The above given brokerage will be inclusive/exclusive of the following charges.

	BSE Cash	BSE F&o	NSE Cash	NSE F&o
Transaction charges				
Sq. up Stamp Duty				
Del. Stamp Duty		N. A.		N. A.
STT				
GST				

- Note:** 1. The above charges are subject to change by the regulatory authorities or Government agencies.
 2. KRA-KYC Charges @Rs. 50/- will be debited to constituent account.

Signature of the Client  First Holder's Signature

FOR OFFICE USE ONLY			
UNIQUE CONSTITUENT CODE: (To be inserted by the Brokerage Firm)			
	NAME	SIGNATURE AND DATE	
Authorised by	Manohar Yadav		
Entered by	Pranali P. Agharkar		
Scan by: _____		File No.: _____	
Scan Date: _____		Location: _____	
Date	Particulars	Name	Signature
	Form Received	Pranali P. Agharkar	
	Date of A/c opened	Pranali P. Agharkar	
	Date of BSE UCC a/c	Pranali P. Agharkar	
	Date of NSE UCC a/c	Prashant S. Agharkar	
	Date of BSE UCC F&O a/c	Prashant S. Agharkar	
	Date of NSE UCC F&O a/c	Prashant S. Agharkar	
	MF option BSE	Pranali P. Agharkar	
	MF option NSE	Pranali P. Agharkar	
	Brokerage Slab	Manohar Yadav	
	KRA done through CVL/NDML/NSE/	Pranali P. Agharkar	

RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES

VOLUNTARY

From: _____

Date: _____

To,

Dear Sirs,

I am/We are regularly trading with you for Cash/Derivative in BSE/NSE.

I/We hereby authorize you through this authorisation letter to do following on my behalf:

1. I/We hereby give my/our consent to maintain a running balance in my account and retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/payin/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you in your client collateral account for my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
3. I/We request you that if any excess securities available in your Client Collateral / Collateral account shall be released to me/us along with funds settlement after making necessary retention of funds and/or collateral as may be permitted by regulators from time to time.
4. I/We request you to settle my fund and securities account **(choose one option)**
 - Once in a calendar Month **or**
 - Once in every calendar Quarter except the funds given towards collaterals/margin in the form of Bank Guarantee and/or Fixed Deposit Receipt.
5. I/We am/are aware of the NSE Circular NSE/INSP/43250 dated 16.01.20, were all the account shall be settled on my selected preference of Monthly/quarterly basis after ensuring a gap of maximum 30/90 days between two running account settlements.
6. Dalal & Broacha Stock Broking Pvt. Ltd. shall not retain the value of funds & securities to the extent of the value of turnover (gross turnover) executed on date of settlement in cash market segment.
7. In case of my open position or transaction on the settlement day, Dalal & Broacha Stock Broking Pvt. Ltd. as per above circular, may retained funds/securities at the time of settlement;
 - i) Entire pay-in obligation of funds & securities outstanding at the end of day on date of settlement.
 - ii) Apart from margin liability as on the date of settlement, in all segments, additional margins (maximum up-to 125% of margin requirement on the day of settlement) as as per the risk management policy.
 - iii) The actual settlement of funds and collateral shall be done by you at an exception of retention of Rs. 10000/- in view of administrative difficulty to settle the account (net amount across segment and across stock exchanges) as prescribed in Exchange Circular NSE/INSP/36889 dated February 02, 2018.
8. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for the next 5 trading days, calculated in the manner specified by the exchanges.
9. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
10. I/We confirm that I can revoke the above mentioned authority at any time and this running account authorization would continue until it is revoked by me.
11. Further, I/we authorize you to deposit the securities available in your client collateral/ collateral account with clearing members for margin purposes.

Yours faithfully,



First Holder's Signature

Signature of Client _____

Name of the Client _____

Client Code: _____

ECN AUTHORISATION

VOLUNTARY

From: _____

Date: _____

To,
Dear Sirs,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I / We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE/NSE with you, in terms of the agreement entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my/our margin statement in digital form with contract notes.
2. I / we undertake to check the contract notes and bring the discrepancies to your notice. My /our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: compliance.officer@dalal-broacha.com
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an quarterly interval. If the client intends to view the digital contract notes for a period prior to 90 days client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Digital Contract Notes will also be available at our Web-site www.dalal-broacha.com
11. Any change in the E-mail ID shall be communicated by us / me through a physical letter.
12. Non receipt of bounced mail notification will amount to delivery of contract note.

Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____

Yours faithfully,

 First Holder's Signature

(Client Signature)

Client Code : (customer ID)

AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES

VOLUNTARY

To,
DALAL & BROACHA STOCK BROKING PVT. LTD.
506, Maker Chamber V, 221, Nariman Point, Mumbai - 400 021.

Dear Sirs,
This is to inform that

- a. I/We have a beneficiary account with DALAL & BROACHA STOCK BROKING PVT. LTD. (DP) & with client id _____.
- b. Further I/We have a trading account with DALAL & BROACHA STOCK BROKING PVT. LTD. (trading code as mentioned below) for investment and trading purpose.
- c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorize you to debit the trading account maintained with DALAL & BROACHA STOCK BROKING PVT. LTD. for the debit charges payable to DALAL & BROACHA STOCK BROKING PVT. LTD.

As Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Yours faithfully,



First Holder's Signature

Signature of Client _____

Name of the Client _____

Client Code: _____

LETTER FOR OPERATIONS OF ACCOUNT

VOLUNTARY

To,
DALAL & BROACHA STOCK BROKING PVT. LTD.
506, Maker Chamber V, 221, Nariman Point, Mumbai - 400 021.
Tel. No. 2282 2992, 2287 6173 • Fax No. 2287 0092

Dear Sir,

Sub: Our dealings on the Capital Market Segment/Futures & Options Segment of the BSE/NSE.

With reference to the captioned subject I/We request you to kindly note the following points for smooth conduct of business operations:

1. I hereby authorise you to accept verbal instructions for placement / modification / cancellation of orders and I expressly agree that once the trade confirmation is sent by you and / or contract note is accepted by me.
2. You are free to adjust debits/credits in between of my accounts, viz. (a) BSE Capital Market (CM) and F&O (Futures and Options), (b) NSE CM and F&O (c) Depository Account maintained by me.
These adjustments mentioned in the accounts (a) to (c) above may be done by passing a Journal Entry, Bank Entry.
3. I/We authorise you to issue me/us bill for transactions in F&O segment of BSE/NSE.
4. I/We am/are aware and have noted that you trade on your PRO/OWN account
5. I/We shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes / to anyone else for the trades done on the BSE/NSE.
6. All fines/penalties and charges levied on you due to my transactions/deeds/actions may be recovered by you from my accounts.
7. Initial Margin is to be paid upfront. Dalal & Broacha Stock Broking Pvt. Ltd. can transfer balances between initial margin & mark to market margin.
8. a) I/We hereby agree that all the financial transactions between me/us and you shall be through account payee cheque/ demand draft/pay order and no cash transactions are permitted on either side. I/We hereby further agree that any claim of cash transaction by either party shall not be entertained by the other party.
b) I/We hereby agree not to issue third party cheques/demand drafts/pay order for my/our transactions with you.
9. I/We hereby agree to give/take delivery of securities in demat mode from/to my/our own beneficiary account only. Further I/We agree not to deposit blank or unfilled delivery instructions with any of your offices.
10. I/We hereby accord my/our consent to you to do transactions in my/our account based on oral instructions over phone as otherwise it is a time consuming affair and may lead to loss due to non-execution of the orders in time due to the formalities involved.
11. I/We hereby agree not to enter into any securities transactions/financial transactions/private deals with co-investors and your employees/franchisees/associates and I/We am/are confined only to getting my/our orders executed on the trading terminals of the stock exchanges and settling those transactions as per the settlement schedules of the exchange.

VOLUNTARY

12. I/We hereby agree to indemnify you fully for any losses arising out of the delivery transactions in the securities held by me/us or jointly with any other person/s.
13. I/We agree to provide you our updated financial details on a yearly basis.
14. I/We agree to provide additional information, details, documents etc. pertaining to me/us required by NSE/BSE, SEBI or any other statutory bodies from time to time.
15. ORDER PLACEMENT INSTRUCTIONS: I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting /calling/ emailing the call centre/branch specified for the said purpose by Dalal & Broacha Stock Broking Pvt. Ltd. in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I receive ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I indemnify Dalal & Broacha Stock Broking Pvt. Ltd. and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.
16. ERRORS AND OMISSIONS: I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Dalal & Broacha Stock Broking Pvt. Ltd. shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Dalal & Broacha Stock Broking Pvt. Ltd. responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Dalal & Broacha Stock Broking Pvt. Ltd.
17. NO MARKET MANIPULATION: I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, Dalal & Broacha Stock Broking Pvt. Ltd. has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.
18. NOT TO ACT AS UNREGISTERED SUB BROKER: I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients In case I wish to deal for other clients also, I undertake to apply to SEBI through Dalal & Broacha Stock Broking Pvt. Ltd. to obtain a sub broker registration. In case Dalal & Broacha Stock Broking Pvt. Ltd. perceives that I am acting as an unregistered sub broker, Dalal & Broacha Stock Broking Pvt. Ltd. has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Dalal & Broacha Stock Broking Pvt. Ltd. without the requirement of any notice from Dalal & Broacha Stock Broking Pvt. Ltd. Further, Dalal & Broacha Stock Broking Pvt. Ltd. has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Dalal & Broacha Stock Broking Pvt. Ltd. from any loss/ damage/claim arising out of such activity.
19. NOT DEBARRED BY ANY REGULATOR: I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform Dalal & Broacha Stock Broking Pvt. Ltd., in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and Dalal & Broacha Stock Broking Pvt. Ltd. on its own comes to know of such action, Dalal & Broacha Stock Broking Pvt. Ltd. has the right to suspend/close my trading account and refuse to deal with me. Also, Dalal & Broacha Stock Broking Pvt. Ltd. can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.
20. PMLA DECLARATION: I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Dalal & Broacha Stock Broking Pvt. Ltd. officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that; a. I do not have any links with any known unlawful persons/institutions b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it.
21. INDEMNIFICATION: I hereby indemnify and hold Dalal & Broacha Stock Broking Pvt. Ltd., its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the Dalal & Broacha Stock Broking Pvt. Ltd. directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.
22. INDEMNITY OF JOINT HOLDINGS: I hereby agree to indemnify and hold Dalal & Broacha Stock Broking Pvt. Ltd. harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

Thanking you,

Yours faithfully,

Signature



First Holder's Signature

Date : _____

Name of Client

Place : _____

SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES

(Ref: SEBI circular No. CIR/MIRSD/15/2011 dated August 02, 2011)

VOLUNTARY

I request you to enroll me for the following facility offered by the Stock Exchanges pursuant to above referred SEBI circular

SMS Facility on Mobile No provided in my KYC

1. Mobile No Belongs to Self Family Member

2. In case of family member please specify the relationship:

Dependent Child Dependent Parent Spouse

3. PAN No. of the family Member whose Mobile No is provided above:

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Email Facility on email Id provided in my KYC

1. Email ID Belongs to Self Family Member

2. In case of family member please specify the relationship:

Dependent Child Dependent Parent Spouse

3. PAN No. of the family Member whose Email ID is provided above:

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Note:

1. Individual Client is invariably required to provide his own Mobile No. except in case of family members where the following relationship exist Dependent Child OR Dependent Parent OR Spouse
2. Non Individual client shall provide the Mobile/ Email details of the person authorized to receive such communication and as provided in the KYC.
3. Client may please note that Mobile No. of Trading Member (TM)/ employees of TM/ Sub broker/authorised person are not permitted for receiving the SMS/ Email communication from exchanges
4. Client may note that the circular is available for download on the exchange's website.

Signature of Client : _____ First Holder's Signature

Family Declaration - Email/ Mobile Updation in Family Codes

VOLUNTARY

(Compulsory in case having common email & mobile in more than one account in Dalal & Broacha Stock Broking Pvt. Ltd.)

To,

DALAL & BROACHA STOCK BROKING PVT. LTD.

506, Maker Chamber V, 221, Nariman Point, Mumbai - 400 021.

Dear Sir/Madam,

Subject: Family Declaration for registering common Mobile / Email details

Date: _____

I request you to register the following mobile number and/or email id in my demat and/or trading account(s) to be opened with you.

Mobile No.: _____ Email ID: _____

I and my family members hereby request that mobile number and email id, as mentioned above shall be considered in your records for the purpose of receiving communication from Dalal & Broacha Stock Broking Pvt. Ltd. or Stock Exchanges/Depositories with regard to trading / demat transactions executed by me / us through Dalal & Broacha Stock Broking Pvt. Ltd.

This facility shall be provided to me/us as an additional, for my / our convenience of receiving transaction details at a single mobile number and e-mail id. I / we understand that this facility is availed only by the family members where "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

Sr. No.	Client Name	Trading Code	BO ID	Relationship	Signature
1.				Self	
2.				Dependent Parent - Mother	
3.				Dependent Parent - Father	
4.				Spouse	
5.				Dependent Daughter	
6.				Dependent Son	

Thanking You,

(Sole/First older)

(Second Holder)

(Third Holder)

(in case of demat account having joint holders, all holders need to sign)

BSE STAR MF
(Letter to be provided by the Investor to the MFI)

VOLUNTARY

Date: _____

To,
DALAL & BROACHA STOCK BROKING PVT. LTD.
506, Maker Chamber V, 221, Nariman Point, Mumbai - 400 021.
Tel. No. 2282 2992, 2287 6173 • Fax No. 2287 0092

Sub: BSE STAR MF

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

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

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

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

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

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

I/we therefore request you to register me/us as your client for participating in BSE StAR MF.

Thanking you,
Yours faithfully

 First Holder's Signature

(Client Signature)

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
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at the time of account opening

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Dalal & Broacha Stock Broking Pvt. Ltd.

For Dalal & Broacha Stock Broking Pvt. Ltd.

Director/Authorised Signatory

NSE - MFSS Facility
(Letter to be provided by the Investor to the Participant)

VOLUNTARY

Date: _____

To,
DALAL & BROACHA STOCK BROKING PVT. LTD.
506, Maker Chamber V,
221, Nariman Point,
Mumbai - 400 021.

Sub: Mutual Fund Service System (MFSS) facility

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

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

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

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 24 November 2009 and as may be specified by the Exchange from time to time in this regard.

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

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

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

Thanking you,

Yours faithfully



First Holder's Signature

(Client Signature)

Details of terms & conditions for the Investor / Client for using New MFSS facility

1. Pre-requisites for becoming Investor / Client for the New MFSS facility

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
- 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
- 1.4. The Client has approached to the Participation with the application for availing the New MFSS facility.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants

2. Terms and Conditions

- 2.1. The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.

- 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- 2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of nonperformance of the obligation by the Participants, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
- 2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

Subject: Displaying of information regarding SEBI Complaint Redress System (SCORES) in the website

As per NSE Circular No. NSE/ISC/2019/4 Dated July 4, 2019 in order to make complaint redressal mechanism more efficient through SCORES clients may note the following procedures:

- a. Register on Scores portal (Link: <https://scores.gov.in/scores/Welcome.html>)
- b. Mandatory details for filing complaints on SCORES
 - i. Name, PAN, Address, Mobile Number, Email id
- c. Benefits:
 - i. Effective communication
 - ii. Speedy redressal of the grievances

Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.gov.in

Confirmation of Receipt of executed documents

Client Code: _____




Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form (Trading & DP), Rights and Obligations (Trading & DP), RDD, Guidance Note (Do's & Dont's), Policies and Procedures, Tariff Sheet (Trading), Schedule of Charges (DP), SMS Alert, Power of Attorney and all other documents as executed by me/us.

Signature of Client:  _____ First Holder's Signature

Date: _____

(Peforated Card)

DP ID	1	2	0	1	1	7	0	0	Client ID	0	0						
	First/Sole Holder				Second Joint Holder				Third Joint Holder								
Name																	
Specimen Signatures																	

FOR OFFICE USE ONLY	
For Office use only	
For PIE Software	
Client Name:	Client Code:
Branch Name:	or Remisier/Sub Broker Name:
New Individual: <input type="checkbox"/>	or Mapped with Family Member:
PIE Username:	Updated in PIE Software Date:
Officer Signature:	Date:

FOR OFFICE USE ONLY	
For Office use only	
For PIE Software	
Client Name:	Client Code:
Branch Name:	or Remisier/Sub Broker Name:
New Individual: <input type="checkbox"/>	or Mapped with Family Member:
PIE Username:	Updated in PIE Software Date:
Officer Signature:	Date:

INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable". BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.

Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system. In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST → (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.

In case of death of Guardian of existing Minor account holder:

In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

- i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
- ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
- iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
- iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
- v. DP has to provide a copy of Rights and Obligations document to the new guardian and keep an acknowledgement of the same on record.
- vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
- vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
- viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
- ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects. The DP shall provide a copy of the Rights and Obligations document to the account holder and shall keep an acknowledgment of the same on record. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.

The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:

- a) The PAN details of the HUF entity would have to be entered in the CDSL system.
- b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
- c) DPs shall note the following while opening a HUF account:
 - HUF accounts cannot be opened with joint holder(s).
 - HUF accounts cannot appoint a nominee.
 - In the account opening form, the Karta shall sign under the HUF stamp.
 - Account can be opened in the name of - Existing Karta / HUF entity
 - The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF).
 - In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:

- HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta, • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.

Procedure to be followed in case of partition of HUF:

In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.

Procedure to be followed in case of POA being given for the HUF

The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

- a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
- b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws. Change of status from NRI to Resident and vice versa: It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

a) Documents – same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) Association of Persons (AOP)

- a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

Additional KYC Form for Opening a Demat Account

For Individuals



DALAL & BROACHA STOCK BROKING PVT. LTD.

506, Maker Chamber V, 221, Nariman Point, Mumbai - 400 021.

(To be filled by the Depository Participant)

Application No.											Date									
DP Internal Reference No.																				
DP ID	1	2	0	1	1	7	0	0	Client ID	0	0									

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

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

Holders Details

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

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

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

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

Guardian's Name											PAN									
Relationship with the applicant																				

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

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

Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

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

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

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

Bank Details (Dividend Bank Details)**MICR code starting with 000 will not be eligible for ECS.**

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

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

OTHER DETAILS

1. Gross Annual Income details (please specify): Income Range per annum

 Upto Rs. 1,00,000/- Rs. 1,00,001/- to Rs. 5,00,000/- Rs. 5,00,001/- to Rs. 10,00,000/- Rs. 10,00,001/- to Rs. 25,00,000/- Above Rs. 25,00,001/-

Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details)

 Private Sector Public Sector Government Service Business Student Professional Agriculturist Retired Housewife Others (Specify)

3. Please tick, if applicable

 Politically Exposed Person (PEP) Related to a Politically Exposed Person (RPEP)

4. Any other information

SMS Alert Facility	<input type="checkbox"/> Yes MOBILE NO. +91 _____	<input type="checkbox"/> No
Refer to Terms & Conditions given as Annexure-2.4	[(Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	

Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST									
	<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	<input type="checkbox"/> Yes. To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> No
-------------	--	-----------------------------

I / We 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 Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Signature			

(Signatures should be preferably in black ink).

(In case of more authorised signatories, please add annexure)

POWER OF ATTORNEY

To all to whom these presents shall come,

I/ We

1. _____
2. _____
3. _____

residing/place of business at _____

am/are Clients of Dalal & Broacha Stock Broking Pvt. Ltd., a Company incorporated with limited liability under the Companies Act, 1956 in Mumbai and operating through its office located at 506, Maker Chambers V, 221, Nariman Point, Mumbai - 400 021 (hereinafter referred to as D&BSB Pvt. Ltd.), having single / joint Depository A/c under Central Depository Services (India) Ltd., DP ID No. 11700 with BO (Client ID) No. 1201170000 _____

Whereas I/We, Mr./Ms. _____ am/are trading through D&BSB Pvt. Ltd. and I/We sell my shares through a trading a/c no. _____ assigned to me/us.

Whereas, in respect of the transactions done by me/us in shares and securities through D&BSB Pvt. Ltd. under the above referred trading a/c with D&BSB Pvt. Ltd., I/We normally submit the instruction slip for delivery to the office of D&BSB Pvt. Ltd. to effect the transfer of shares from my/our above referred DP Beneficiary A/Cs held with D&BSB Pvt. Ltd.

NOW KNOW ALL MENTHAT I/We do hereby nominate, constitute and appoint D&BSB Pvt. Ltd., acting through any of its Officers as my true and lawful Attorney (hereinafter referred to as the Said Attorney) for me/us and on my/our behalf and in my/our name to operate depository account/(s) for the purpose of transferring any collateral to the margin account and honoring delivery obligations, for any transaction executed with D&BSB Pvt. Ltd., which is registered as a Depository Participant and a stock broker registered with the Securities and Exchange Board of India (SEBI).

For all and of the purposes aforesaid, to receive and sign any document and form, instruction slips, and to do all lawful acts requisite for effecting the same.

I/We hereby expect D&BSB Pvt. Ltd. to return any excess securities/funds that may have been erroneously received or not entitled to be received from me/us.

This authority is restricted to any pay-in obligations or margin requirements in respect of all trades/transactions done by me/us or my/our related parties through D&BSB Pvt. Ltd., member NSE CASH & F&O and BSE CASH & F&O - INZ000210337.

It is understood that **Dalal & Broacha Stock Broking Pvt. Ltd.** will move securities by debiting and/or transfer securities from the aforesaid account for the purpose of delivery of the same to the Clearing Houses of the recognized Stock Exchanges or for the purpose of margin obligations to be given by way of margin pledge/ margin re-pledge in the depository system to any of their respective Demat Accounts as mentioned below:

Sr. No.	Exchange	Principal / Pool Account No.		Early Pay - in
		CDSL	NSDL	
1	BSE Limited	1201170000000015 1201170000000021	IN601620	1100001000012720
2	National Stock Exchange of india Limited	12011700000000243	IN502896	1100001100015065
3	BSE/NSE	CDSL: 1) TM/CM – Client Securities Margin Pledge Account No. NSDL: 2) TM/CM-Client Securities Margin Pledge Account No.		1201170000172073 IN30133040354767

I/We hereby authorise D&BSB Pvt. Ltd. to transfer any charges due to D&BSB Pvt. Ltd. from the above mentioned Depository A/c to my/our above referred trading A/c. I/We further authorise D&BSB Pvt. Ltd. to adjust any such charges due to D&BSB Pvt. Ltd. from any amount payable to me/us D&BSB Pvt. Ltd.

I/We hereby agree that all acts and deeds done by D&BSB Pvt. Ltd. under this Power of Attorney shall be construed as acts and deeds done by me/us jointly as well as severally and we further confirm and ratify all and whatsoever D&BSB Pvt. Ltd. shall lawfully do or cause to be done by virtue of this authorisation.

Third Joint Holder



Second Joint Holder





First/Sole Holder





I/We further agree and authorise Dalal & Broacha Stock Broking Pvt. Ltd. to send me/us consolidated summary of my/our scripwise buy and sell positions taken with average rates by way of SMS / email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

I/We further confirm that the powers and authorities conferred by this Power of Attorney shall cease upon revocation without notice and completion of the pay-in obligations/settlement of dues as aforementioned.

Dated at _____ this _____ Day of _____ 20 

Name [1]. _____)  _____ First Holder's Signature

Name [2]. _____)  _____ Second Holder's Signature

Name [3]. _____)  _____ Third Holder's Signature

WITNESS:

Sign : _____)

Name : _____)

Address: _____)

_____)

_____)

I/ We accept

For **Dalal & Broacha Stock Broking Pvt. Ltd.**

Director/Authorised Signatory



DALAL & BROACHA STOCK BROKING PVT. LTD. (For Individuals Only)
506, Maker Chamber V, 221, Nariman Point, Mumbai - 400 021.



CDSL
Your Depository

NOMINATION DETAILS

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 persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Registration No.	Dated

Nominee details

Nominee Name:	Nominee 1	Nominee 2	Nominee 3
*First Name			
Middle Name			
*Last Name			
*Address			
*City			
*State			
*Pin			
*Country			
Telephone No.			
Fax No.			
PAN			
E-mail ID			
*Relationship with BO (if any)			
Date of Birth (Mandatory if nominee is a minor)			
Name of Guardian of Nominee (if Nominee is a minor)			
*First Name			
Middle Name			
*Last Name			
*Address of the guardian of nominee			
*City			
*State			
*Country			
*Pin			

Age			
Telephone No.			
Fax No.			
E-mail ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Residual Securities (Please tick any one nominee, if tick not marked the default will be first nominee)			




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

* Marked is Mandatory field

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

Place: _____ Date: _____

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

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

(Signatures should be preferably in blue ink).

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

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

Names of Witness	
Address of Witness	
Signature of Witness	

(To be filled by DP)

Nomination Form accepted and registered wide Registration No. _____ dated _____.

Note: Please attach Pan card copy of the nominee's

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received nomination from:

DP ID	1	2	0	1	1	7	0	0	Client ID	0	0						
Name																	
Address																	
Nomination in favour of																	
First Nominee																	
Second Nominee																	
Third Nominee																	
No Nomination	<input type="checkbox"/> Does not wish to nominate																
Registration No.											Registered on						

For **DALAL & BROACHA STOCK BROKING PVT. LTD.**

(Authorised Signatory)

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 Marathon Futurex, A-Wing, 25th Floor, N.M. Joshi Marg, Lower Parel, Mumbai-400013 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

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



Sole / First Holder



Second holder



Third Holder

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

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

(Please write your 8 digit DPID)

(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)

Signatures



Sole / First Holder



Second holder



Third Holder

Place: _____

Date: _____

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

Statement of account

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

Manner of Closure of Demat account

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



Sole / First Holder



Second holder



Third Holder

Basic Services Demat Account

To,
DALAL & BROACHA STOCK BROKING PVT. LTD.
 506, Maker Chamber V, 221, Nariman Point,
 Mumbai - 400 021.
SEBI Reg. No.: IN-DP-421-2019 • DP ID: 12011700

Date: _____

Dear Sir / Madam,

I / We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form.

I / We do not wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form

I / We wish to avail the BSDA facility for my / our below mentioned demat account number:




I / We do not wish to avail the BSDA facility for my / our below mentioned demat account number:

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

Name	PAN									
Sole/First Holder										
Second Holder										
Third Holder										

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/we also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first / Sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

	Signature
Sole/First Holder	
Second Holder	
Third Holder	

Eligibility for BSDA:

1. Bo who has only one demat account where he/she is the sole or first holder.
2. Bo does not have any other demat account/s where they are not the first holder OR single demat account where they are sole or first holder.
3. Bo can have only one BSDA in his/her name across all depositories.
4. Value of securities held in the demat account shall not exceed ₹ 2,00,000 at any time.

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received BSDA declaration form from:

DP ID	1	2	0	1	1	7	0	0	Client ID	0	0	0				
Name																
Address																

For Dalal & Broacha Stock Broking Pvt. Ltd.

Date:

(Authorised Signatory)

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

DP ID	1	2	0	1	1	7	0	0	Client ID	0	0						
Sole/First Holder																	
Second Holder																	
Third Holder																	

To,
DALAL & BROACHA STOCK BROKING PVT. LTD.
 506, Maker Chamber V, 221, Nariman Point,
 Mumbai - 400 021.




Dear Sir / Madam,

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

OPTION 1:




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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OPTION 2:

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

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

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

DP ID	1	2	0	1	1	7	0	0	Client ID	0	0	0					
Name of Sole/First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

Date:

For **DALAL & BROACHA STOCK BROKING PVT. LTD.**

(Authorised Signatory)

HUF DECLARATION

Date: _____

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

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

Sr No	Name of Family Members	Relation	Male/Female	Date of Birth
1				
2				
3				
4				
5				
6				

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

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

Thanking you,
Yours truly,

(X)

Karta
(Affix stamp of HUF)

CONFIRMATION FOR HUF

I/We the co-parceners of _____ H.U.F., do hereby confirm that we have no objection to _____ who is the Karta of the aforesaid H.U.F. to issue standing instructions by means of either a Power of Attorney / Authorization letter to M/s. Dalal & Broacha Stock Broking Pvt. Ltd.

We understand that this Power of Attorney / Authorisation letter issued to M/s. Dalal & Broacha Stock Broking Pvt. Ltd., is for the explicit purpose of delivery of shares sold by the Karta on behalf of the H.U.F.

Beneficiary Account No.: **1201170000** _____

Name of Co-parceners

1. _____



Co-parceners Signature

2. _____



Co-parceners Signature

3. _____



Co-parceners Signature

4. _____



Co-parceners Signature

5. _____



Co-parceners Signature

6. _____



Co-parceners Signature

TARIFF FOR "BENEFICIARY ACCOUNT" OPENED ON CDSL W.E.F. 1ST SEPTEMBER, 2018

Sr. No.	ITEM	TRADERS	INVESTOR	BSDA
		TRANSACTION DONE WITH D&B	TRANSACTION DONE WITH D&B OR OTHER CM	TRANSACTION DONE WITH D&B OR OTHER CM
1	ACCOUNT OPENING	FREE	FREE	FREE
2	MONTHLY SERVICE CHARGES	Rs. 100/-	Rs. 50/-	★
3	STATUTORY CHARGES (POA)	Rs. 510/-	Rs. 510/-	Rs. 510/-
4	ADVANCE DEPOSIT	Rs. 1000	Rs. 1000/-	Rs. 1000/-
5	ON MKT. BUY TRANSACTIONS	Rs.30/- per TXN	0.05% - Min of Rs. 30/- per TXN	0.05% - Min of Rs. 50/- per TXN
6	OFF MKT. BUY TRANSACTIONS	FREE	FREE	FREE
7	OFF MKT. SELL TRANSACTIONS	0.05% Min of Rs. 30/- per TXN-Eq Debt 0.02% Min Rs. 100/- Max Rs. 500/- per TXN	0.05% Min of Rs. 30/- per TXN-Eq Debt 0.02% Min Rs. 100/- Max Rs. 500/- per TXN	0.05% Min of Rs. 50/- per TXN-Eq Debt 0.02% Min Rs. 100/- Max Rs. 500/- per TXN
8	CUSTODY CHARGES	FREE	FREE	FREE
9	DEMATERIALIZATION	Rs.5/- Per Cert + Rs.2/- Per Drf	Rs.5/- Per Cert + Rs.2/- Per Drf	Rs.5/- Per Cert + Rs.2/- Per Drf
10	REMATERIALIZATION	Fee For Every 100 securities Rs.25/- part thereof subject to maximum Rs.5,00,000/- OR Flat Fee Rs.25/- per certificate, whichever is higher	Rs.5,00,000/- OR Flat Fee Rs.25/- per certificate, whichever is higher	Rs.5,00,000/- OR Flat Fee Rs.25/- per certificate, whichever is higher
11	COURIER CHARGES	Actual Min Rs. 75/-	Actual Min Rs. 75/-	Actual Min Rs. 75/-
12	PLEDGE / UNPLEDGE ACCEPTANCE	0.02% Min of Rs. 25/- per TXN	0.02% Min of Rs. 25/- per TXN	0.02% Min of Rs. 25/- per TXN
13	INVOCATION OF PLEDGE	0.01% Min of Rs. 25/- per TXN	0.02% Min of Rs. 25/- per TXN	0.02% Min of Rs. 25/- per TXN
14	EXTRA STATEMENT CHARGES	Rs. 20/-	Rs. 20/-	Rs. 20/-
15	LATE TRANSACTION CHARGES	Rs. 50/- per INST.	Rs. 50/- per INST.	Rs. 50/- per INST.

Notes:

- Transaction charges as mentioned above in % are applicable on the value of transactions as Computed by CDSL and are subject to change based on revision in charges by CDSL.
- Daily statements are available at Rs. 3000/- per annum in advance.
- Additional Account Maintenance Charge of Rs. 500/- for other BO's (Corporates, Financial Institutions, Mutual Funds, etc.) are charged extra as levied by CDSL.
- Advance Deposit of Rs.2500/- will be adjusted against monthly billing and should be replenished in multiples of Rs.2500/- when the credit balance falls below Rs. 2000/-** Payment in advance for Account Opening and Account maintenance. Transaction charges will be billed monthly. Clients who join CDSL in any month will be billed for Account maintenance Charges on pro-rata basis in relation to the financial year.
- GST as applicable would be levied.
- Any other service not quoted above will be charged separately.
- Dalal & Broacha Stock Broking Pvt. Ltd. reserves the right to revise its service charges at its absolute discretion.
- Rejected DRF charges Rs. 30/- along with Rs. 75/- courier charges per ISIN.
- Additional Delivery Instruction book (5 DIS.) Rs. 25/- along with Rs. 35/- courier charges.
- AS per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012, all clients who are willing to hold only one demat account as first holder and whose DP holding valuation will be maintained below Rs. 2 lacs is eligible to opt for BSDA (Basic Services Demat Account) subject to terms and conditions mentioned by SEBI. To opt for BSDA scheme please sign a separate scheme sheet which can be obtained from our office/s.
- * AMC is NIL Upto Rs. 50,000/- and Rs. 100/- per annum from Rs. 50,001/ upto Rs. 2 Lakhs value of holding. If the value of holdings exceeds Rs.2 Lakhs, normal Tariff as per Investor Scheme will be charged and prorata AMC charges of Rs. 50/- per month for the balance period in the financial year will be charged.

 SCHEME : TRADER INVESTOR

NOTE: In case you would like to change your scheme for the next year, you are requested to select your scheme and submit the revised tariff schedule duly signed by all the A/c. Holders by March 31, of the Current Financial Year. If your signed Tariff Schedule with the selected scheme is not received by this date we will continue with your existing scheme as amended by the change in tariff and your acceptance thereof.

Signature of the Holders


1. _____



2. _____



3. _____

P. T. O.



DP ID - 11700

SEBI Reg. No. : IN-DP-421-2019

TARIFF FOR "BENEFICIARY ACCOUNT" OPENED ON CDSL BY NRI'S W.E.F. 1ST SEPTEMBER, 2018

Sr. No.	ITEM	CHARGES
	TRANSACTION DONE WITH D&B	TRANSACTION DONE WITH ANY OTHER CM
1	ACCOUNT OPENING	FREE
2	MONTHLY SERVICE CHARGES	Rs. 175/-
3	STATUTORY CHARGES (POA)	Rs. 510/-
4	ADVANCE DEPOSIT	Rs. 2500
5	ON MKT. SELL TRANSACTIONS	0.05% - Min of Rs. 30/- per TXN
6	OFF MKT. BUY TRANSACTIONS	FREE
7	OFF MKT. SELL TRANSACTIONS	0.05% MIN OF RS. 30/- PER TXN - EQUITY DEBT 0.02% MIN RS.100/- MAX RS. 500 PER TXN
8	CUSTODY CHARGES	FREE
9	DEMATERIALIZATION	RS.5/- PER CERT + RS.2/- PER DRF
10	REMATERIALIZATION	Fee For Every 100 securities Rs.25/- part thereof subject to maximum Rs.5,00,000/- OR Flat Fee Rs.25/- per certificate, whichever is higher
11	COURIER CHARGES	ACTUAL MIN RS. 75/-
12	PLEDGE / UNPLEDGE ACCEPTANCE	0.02% MIN OF RS. 25/- PER TXN
13	INVOCATION OF PLEDGE	0.01% MIN OF RS. 25/- PER TXN
14	EXTRA STATEMENT CHARGES	Rs. 20/-
15	LATE TRANSACTION CHARGES	RS. 50/- PER INST.

Notes:

- Transaction charges as mentioned above in % are applicable on the value of transactions as Computed by CDSL and are subject to change based on revision in charges by CDSL.
- Daily statements are available at Rs. 3000/- per annum in advance.
- Additional Account Maintenance Charge of Rs. 500/- for other BO's (Corporates, Financial Institutions, Mutual Funds, etc.) are charged extra as levied by CDSL.
- Advance Deposit of Rs.2500/- will be adjusted against monthly billing and should be replenished in multiples of Rs.2500/- when the credit balance falls below Rs. 2000/-**
- Payment in advance for Account Opening and Account maintenance. Transaction charges will be billed monthly. Clients who join CDSL in any month will be billed for Account maintenance Charges on pro-rata basis in relation to the financial year.
- GST as applicable would be levied.
- Any other service not quoted above will be charged separately.
- Dalal & Broacha Stock Broking Pvt. Ltd. reserves the right to revise its service charges at its absolute discretion.
- Rejected DRF charges Rs. 30/- along with Rs. 75/- courier charges per ISIN.
- Additional Delivery Instruction book (5 DIS.) Rs. 25/- along with Rs. 35/- courier charges.
- AS per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012, all clients who are willing to hold only one demat account as first holder and whose DP holding valuation will be maintained below Rs. 2 lacs is eligible to opt for BSDA (Basic Services Demat Account) subject to terms and conditions mentioned by SEBI. To opt for BSDA scheme please sign a separate scheme sheet which can be obtained from our office/s.
- * AMC is NIL Upto Rs. 50,000/- and Rs. 100/- per annum from Rs. 50,001/ upto Rs. 2 Lakhs value of holding. If the value of holdings exceeds Rs.2 Lakhs, normal Tariff as per Investor Scheme will be charged and prorata AMC charges of Rs. 50/- per month for the balance period in the financial year will be charged.

NOTE: In case you would like to change your scheme for the next year, you are requested to select your scheme and submit the revised tariff schedule duly signed by all the A/c. Holders by March 31, of the Current Financial Year. If your signed Tariff Schedule with the selected scheme is not received by this date we will continue with your existing scheme as amended by the change in tariff and your acceptance thereof.

FOR FURTHER DETAILS PLEASE CONTACT

NARIMAN POINT

22044805 (M) 9892423336 NANDU
67141426 (M) 9870927105 MANOJ
66212521 /22 K. POORAJ (RAJU)

VILE PARLE (EAST) (O) 26174505

(M) 9820696876 VIPUL THAKKAR

SANTACRUZ (O) 26182540 / 26182546

(M) 9323282101 HIREN SHAH

(M) 9768417375 SANGEETA JHA

VADODARA (O) 0265-2361610/384/ 236339

(M) 9824385207 PARESH JANI

(M) 9824035943 HETAL PANDYA

PUNE AKSHAY (O) 020-26162542 / 4941

(M) 9823184020 ARVIND DEVADASS

(M) 9892815900 AVINASH DEVADASS

PUNE AUNDH (O) 8149001062/63

(M) 9860793478 AJAY OTURKAR

DELHI (O) - 011 - 7290044042

(M) 9810634314 VAIBHAV JAIN

FARIDABAD (O) 9555532242

(M) 9958326969 NIDHI JAIN

BADALAPUR (O) 7028918449 / 7767851949

(M) 7798141949 GANESH BHOSALE

BANGALORE (O) 080-41490441/41282057

(M) 9620058684 VENKATESH C.R.

CHENNAI (O) 044-28156735/8233

(M) 9884564857 P. SURESH KUMAR

VILE PARLE (W) (O) 26100149/26189049

(M) 8652021414 RAJASI SAWANT

THANE

(M) 9527214557 SANJAY MAHATPURE

ANAND (O)

(M) 9898344548 LOKESH SHAH

VISIT OUR WEBSITE www.dalal-broacha.com

Signature of the Holders

1. 

2. 

3. 

E-STATEMENT OF ACCOUNT

VOLUNTARY

Date: _____

To,
DALAL & BROACHA STOCK BROKING PVT. LTD.
506, Maker Chamber V, 221, Nariman Point,
Mumbai - 400 021.

Dear Sirs,

Re: Beneficial Owner (BO) Account No. _____

I/We _____
[name(s) of the BO(s)] had entered into agreement dated _____ with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL.) I/We confirm having opted to receive the statement of accounts pertaining account in electronic mode in lieu of physical copy of the statement of account.

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

[Email address: _____]

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

Yours faithfully,



Sole / First Holder



Second holder



Third Holder

FOR NRI / FN (FEMA DECLARATION)

Declaration format for PO Box Address

VOLUNTARY

Name: _____

Address: _____

TO WHOMSOEVER IT MAY CONCERN

I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).

Further, in the process of opening my/our accounts with the Indian Bank/s, members of Indian Stock Exchange/s, and Depository Participants, I/We have complied with the current laws and will continue to do so as required for the proper maintenance of the aforesaid accounts.

In case there is any change in my/our status from Resident to Non-resident or vice versa or PO Box Address, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transition.

Signature

First Holder's Signature

Name: _____



FATCA-CRS

Annexure for Individual Accounts

(Individual Sole Proprietor) (Refer to instructions)

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

First/Sole Applicant/Guardian

PAN

Client Code

Name Gender M F O

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Type of address given at KYC KRA Residential & Business Residential Business Regd. Off.

Permissible documents are Passport Election ID Card PAN Card Govt. ID Card Driving Licence UIDAI Card NREGA Job Card Others

Date of Birth Place of Birth

Country of Birth

Nationality

Are you a tax resident of any country 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.

Country*	Tax identification Number#	Identification Type (TIN or Other, please specify)

* To also include USA, where the individual is a citizen / green card holder of The USA
In case Tax identification Number is not available, kindly provide its functional equivalent \$

Second Applicant

PAN

Client Code

Name Gender M F O

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Type of address given at KYC KRA Residential & Business Residential Business Regd. Off.

Permissible documents are Passport Election ID Card PAN Card Govt. ID Card Driving Licence UIDAI Card NREGA Job Card Others

Date of Birth Place of Birth

Country of Birth

Nationality

Are you a tax resident of any country 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.

Country*	Tax identification Number#	Identification Type (TIN or Other, please specify)

* To also include USA, where the individual is a citizen / green card holder of The USA
In case Tax identification Number is not available, kindly provide its functional equivalent \$

Third Applicant

PAN

Client Code

Name Gender M F O

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Type of address given at KYC KRA Residential & Business Residential Business Regd. Off.

Permissible documents are Passport Election ID Card PAN Card Govt. ID Card Driving Licence UIDAI Card NREGA Job Card Others

Date of Birth Place of Birth

Country of Birth

Nationality

Are you a tax resident of any country 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.

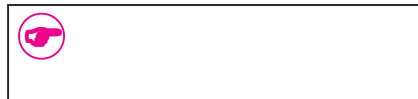
Country*	Tax identification Number#	Identification Type (TIN or Other, please specify)

* To also include USA, where the individual is a citizen / green card holder of The USA
In case Tax identification Number is not available, kindly provide its functional equivalent \$

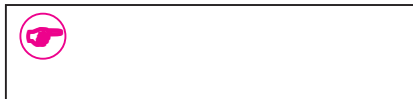
Certification

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

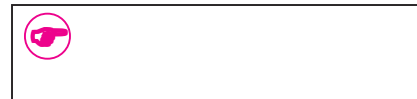
Signatures



First/Sole Applicant/Guardian



Second Applicant



Third Applicant

DATE PLACE

FATCA & CRS Terms & Conditions

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

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

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

FATCA & CRS Instructions

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

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

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

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA / CRS indicia
U.S. Place of Birth	<ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below) AND 3. Any one of the following documents: <ul 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 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"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a resident of any other country other than India; and 2. 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"> 1. 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 2. 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"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; or 2. Documentary evidence (refer list below)
Telephone number in a country other than India	<ol style="list-style-type: none"> 1. 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 2. Documentary evidence (refer list below)

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

1. Certificate of residence issued by an authorised Government body *
 2. Valid Identification issued by authorised 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.**

REQUEST FOR UPDATION OF AADHAAR NUMBER IN TRADING/DEMAT/MF LINKED ACCOUNTS

VOLUNTARY

Date: _____

To,
DALAL & BROACHA STOCK BROKING PVT. LTD.
 506, Maker Chamber V,
 221, Nariman Point, Mumbai - 400 021.

Sub: Updation of Aadhaar Number in TRADING/DEMAT/MF linked accounts

Dear Sir / Madam,

Please update my/ our below mentioned Aadhaar Number to my/ our below mentioned accounts.

Client Name (1st holder): _____

Aadhaar Number 1st holder

Client Name (joint holder 1): _____

Aadhaar Number joint holder 1

Client Name (joint holder 2): _____

Aadhaar Number joint holder 2

Please update Aadhaar number to below accounts as required:

DP ID:

Client ID:

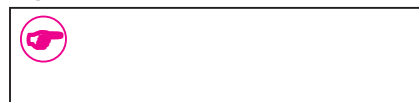
UCC Code

I submit my above Aadhaar number and voluntarily give my consent to:

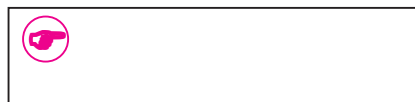
- Update my/our Aadhaar/UID number issued by UIDAI, Govt. of India in my/our name with my/our aforesaid accounts.
- Use my/our Aadhaar details to authenticate me/us from UIDAI
- Use my/our mobile number mentioned in my/our account for sending SMS alerts to me/us
- Consent for Authentication: I/We, the holder of the above stated Aadhaar number, hereby give my/our consent to Dalal & Broacha Stock Broking Pvt Ltd, to obtain my/our Aadhaar number, Name and Fingerprint/Iris for authentication with UIDAI. Further, i/we am/are aware that my/our identity information would only be used for demographic authentication / validation / e-KYC purpose and also informed that my/our biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.
- I/We hereby submit my/our Aadhaar number as issued by Government of India, to Dalal & Broacha Stock Broking Pvt. Ltd. and voluntarily give my/our consent to link them to all my/our accounts / relationships (existing and new) maintained with Dalal & Broacha Stock Broking Pvt. Ltd. in my/our individual capacity and / or as an authorized signatory in non- individual accounts. I/We, holder of the above stated Aadhaar number, hereby voluntarily give my/our consent to Dalal & Broacha Stock Broking Pvt. Ltd. to obtain and use my/our Aadhaar number, Name and Fingerprint/Iris and my/our Aadhaar details to authenticate me/us with UIDAI as per Aadhaar Act, 2016 and all other applicable laws. Dalal & Broacha Stock Broking Pvt. Ltd. has informed me/us that my/our Aadhaar details and identity information would only be used for demographic authentication, validation, e-KYC purpose, OTP authentication including; for availing trading/demat/mf services, operation of my/our accounts / relationships and for delivery of subsidies, benefits and services and / or any other facility relating to trading/demat/mf operations. Dalal & Broacha Stock Broking Pvt.Ltd. has informed that my/our biometrics will not be stored / shared and; will be submitted to Central Identities Data Repository (CIDR) only for the purpose of authentication. I/We have been given to understand that my/our information submitted to the Dalal & Broacha Stock Broking Pvt.Ltd. herewith shall not be used for any purpose other than mentioned above. I/We also authorize Dalal & Broacha Stock Broking Pvt. Ltd. to link and authenticate my/our Aadhaar number to all my/our accounts / relationships with the Dalal & Broacha Stock Broking Pvt.Ltd. as may be opened in future in addition to those mentioned below. I/We will not hold Dalal & Broacha Stock Broking Pvt. Ltd. or any of its officials responsible in case of any incorrect information provided by me/us.

I/We have been given to understand that my/our information submitted herewith shall not be used for any purpose other than mentioned above, or as per requirements of law.

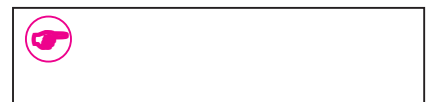
Signatures



First/Sole Applicant/Guardian



Second Applicant



Third Applicant

CHECK LIST FOR FILLING KYC FORM

(Please tick against documents provided)

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

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

B. 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 / UID (AADHAR 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 apostiled or consularised) that gives the registered address.
 8. The proof of address in the name of the spouse.
- C.** Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- D.** Demat master or recent holding statement issued by DP bearing name of the client.
- E. Financial Details** (Attach copy of any one of following in support of financial details)
Illustrative list of documents:- (Compulsory for Derivatives Segment)
- Copy of ITR Acknowledgement
 - Copy of Annual Accounts
 - In case of salary income - Salary Slip
 - Copy of Form 16
 - Net worth certificate
 - Copy of demat account holding statement
 - Bank account statement for last 6 months
 - Any other relevant documents substantiating ownership of assets.
 - Self declaration with relevant supporting documents.

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

For Individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

COMBINED KYC FORM - TRADING + DP

SERIAL NO.:

CLIENT CODE



INDIVIDUAL

DALAL & BROACHA STOCK BROKING PVT. LTD.

MEMBER :

**BOMBAY STOCK EXCHANGE LIMITED (CASH & F&O)
NATIONAL STOCK EXCHANGE OF INDIA LTD. (CASH & F&O)**

SEBI REG. NO. INZ000210337 - DT - 28-11-2018
B.S.E. CLEARING NO.: 162 • N.S.E. CODE NO.: 09806
OUR CLEARING CORPORATION: NSE CLEARING LTD. (NCL)

CLIENT REGISTRATION FORM

NAME : _____
UID/PAN : _____
REF./INTRODUCED BY : _____

Name of stock broker/ trading member/clearing member	DALAL & BROACHA STOCK BROKING PVT. LTD.
SEBI Registration No. and date	For NSE Cash, NSE F&O, BSE CASH & BSE F&O INZ 000210337 & Dated: 28-11-2018 For PMS INP 000001975 & Dated: 16-03-2007 For IN-DP-421-2019 & Dated: 22.7.2019 NSE Member Code No.: 09806 • BSE Member Clearing No.: 162
Registered office & Correspondence office address:	506, Maker Chamber V, 221, Nariman Point, Mumbai - 400 021. Tel. No.: 91-22-2282 2992, 2287 6173 • Fax No.: 2287 0092 E-mail: db@dalal-broacha.com Website: www.dalal-broacha.com
Compliance officer name: phone no. & email id:	Chetan Mehta Tel. No.: 91-22-6714 1468, 2282 2992 Email: compliance.officer@dalal-broacha.com
CEO name: phone no. & email id:	Nailesh P. Dalal Tel. No.: 91-22-2282 2992 • nailesh.dalal@dalal-broacha.com
For any grievance/dispute please contact DALAL & BROACHA STOCK BROKING PVT. LTD. at the above address or email id: compliance.officer@dalal-broacha.com and Phone no. 91-022-2282 2992. In case not satisfied with the response, please contact the concerned exchange(s) at on BSE Tel: 022 2272 8097 E-mail Id: is@bseindia.com, on NSE Tel: 1800 266 0058 • E-mail Id: ignse@nse.co.in and on SEBI for filing complaints on SCORES Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.gov.in	

REGISTERED OFFICE :

506, Maker Chamber V, 221, Nariman Point, Mumbai - 400 021.
Tel No.: 2282 2992, 2287 6173 • Fax No.: 2287 0092 • E-mail: db@dalal-broacha.com
E-mail ID for customer grievances : compliance.officer@dalal-broacha.com