


**ANNEXURE – 1 - INDEX OF DOCUMENTS**

<b>A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
<b>S.N.</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Pg. No</b>
1.	Account Opening Form	A. KRA form - Document captures the basic information about the constituent and an instruction/check list.	3-5
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	6-7
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).	8-12
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	13-16
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	17-18
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	19-21
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	22
<b>B. VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
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.	23
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.	24
3.	Debit authorisation letter & Declaration for NRI / FN	This letter authorises DP to debit charges of demat account to trading account & Declaration under FEMA (if applicable)	25
4.	Letter for Operations of Account	This letter is for smooth functioning of account	26
5.	Authorisation for SMS/ E mail alert	Authorization to receive SMS & Email alerts from stock exchanges.	27
6.	Declaration by HUF/Format of Resolution / Declaration by partnership firm	To be provided on letterhead of firm (if applicable)	28-30
7.	Letter for dealing in Mutual Fund Schemes-BSE Star MF	This letter is for dealing in units of Mutual Fund.	31
8.	Letter for dealing in Mutual Fund Schemes - NSE Star MF	This letter is for dealing in units of Mutual Fund.	32-33
9.	Risk Assessment Letter	Risk Assessment of Client in terms of PMLA 2002	34
10.	Link Aadhaar Number	As per format	35
<b>C. DP SECTION:</b>			
1.	Checklist & DP FORM	Document captures checklist & additional information about the constituent relevant to DP account opening form along with Rights & Obligations.	36-40
2.	SMS Alert	This contains term & conditions regarding SMS alert facility	41-42
3.	Option Form for DIS	DIS booklet for PMS client.	43
4.	e-Statement of account	To receive statement of a/c. like holding/transaction/ledger/bills/debit notes/credit note in electronic mode.	44
5.	Power of Attorney	Authorisation for Payouts directly from DP account.	45-46
6.	Modification Form	Account addition/modification/deletion details to be filled in	47
7.	Schedule of Charges (CDSL)	Document detailing the charges levied on the client of various categories.	48-49
8.	FATCA	As per format	50-52
<p><b>DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003</b>                      Dalal &amp; Broacha Stock Broking Pvt. Ltd. caters to Institutional, Corporate, High net-worth and other retail clients through membership of various exchanges. Dalal &amp; Broacha Stock Broking Pvt. Ltd. besides doing client based business also does its own investment and/or trading.                      For Dalal &amp; Broacha Stock Broking Pvt. Ltd. "Proprietary Trading Disclosure noted"</p>			
Director/Authorised Signatory		Client's Signature 	First Director/Partner/Trustee

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## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

- (\*Documents having an expiry date should be valid on the date of submission.)
1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

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

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

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



For Non-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 Director/Partner/Trustee					<input checked="" type="checkbox"/> First Director/Partner/Trustee												
NSE	<input checked="" type="checkbox"/> First Director/Partner/Trustee					<input checked="" type="checkbox"/> First Director/Partner/Trustee												
# 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						Tel. No.					Remisier/AP							
Rem/						Fax No.					Remisier/AP							
Sub Brk.						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																		

**INTRODUCER DETAILS (Optional)**

Name		Signature	
Add. / Tel.		<b>X</b>	
Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify_____			

**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 	First Director/Partner/Trustee
Auth. Person			
Place	Date		

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client:		
Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name		
Signature		
Designation		
Employee Code		
Date		

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

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

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



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/](http://www.bseindia.com/) [www.nseindia.com/](http://www.nseindia.com/) [www.cdslindia.com](http://www.cdslindia.com) and SEBI website [www.sebi.gov.in](http://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.****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.

**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:**

- Dalal & Broacha Stock Broking Pvt. Ltd. has the right to close out/ liquidate or square off any open position of the client (limited to the extent of settlement /margin obligation) without giving any prior notice, all or any of the client's positions as well as securities / collaterals placed as margins for non-payments of margin or other amounts due from such client in respect of settlement or any other dues that are recoverable from the client by Dalal & Broacha Stock Broking Pvt. Ltd. The proceeds of the same shall be adjusted against the client's liabilities / obligations. Any loss or financial charges on account of such close-out /liquidation shall be debited to the client's account.

**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.

**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.




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(Signature of First Director/Partner/Trustee)

**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				
Service Tax				

- 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 Director/Partner/Trustee

FOR OFFICE USE ONLY			
<b>UNIQUE CONSTITUENT CODE:</b> (To be inserted by the Brokerage Firm)			
	<b>NAME</b>	<b>SIGNATURE AND DATE</b>	
Authorised by			
Entered by			
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/	Nitesh Sawant	

**RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**

**VOLUNTARY**

From: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

To,

Dear Sirs,

I am / We are regularly Trading with you for Cash and Derivative Market in BSE/NSE. I /we hereby authorized you to do following on my /our behalf:

- You are requested to accept all my buy / sell orders over the telephone / fax conveyed by myself / our selves or Mr. \_\_\_\_\_ who is duly authorised by me/us. All such orders and trades will be binding on me/us. (It is applicable to only Non-Individual Client)
- I/We hereby give my/our consent to maintain my/our account for fund and securities with you as a RUNNING ACCOUNT
- The Securities lying in my/our beneficiary owner A/c and credit balance lying in my / our account with you should be considered as margin deposits.
- I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of BSE/NSE
- The actual settlement of funds & Securities shall be done by you every
  - Monthly
  - QuarterlyYou will send quarterly/ monthly statement of Funds & Securities and I/We shall bring any discrepancy to your notice within 30 working days from the receipt of the Statements.
- In case of outstanding obligation on settlement date you may retain an amount of up to Rs 10,000/- (net amount across segment and across stock exchanges)
- You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation
- I/We have noted the following :-
  1. This running account authorization will continue until it is revoked by me.
  2. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person.
  3. I/we may revoke the authorization at any time by giving written notice.

Yours faithfully,

Signature of Client  \_\_\_\_\_  
First Director/Partner/Trustee

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](mailto: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](http://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,



(Signature of First Director/Partner/Trustee)

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 12011700-00 \_\_\_\_\_.
- 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,

Signature of First Director/Partner/Trustee  \_\_\_\_\_

Name of the Client \_\_\_\_\_

Client Code: \_\_\_\_\_

**FOR NRI / FN**

**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, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transition.

Signature of First Director/Partner/Trustee  \_\_\_\_\_

Name: \_\_\_\_\_

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.
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.

Thanking you.

Yours faithfully,

Signature of First Director/Partner/Trustee :  \_\_\_\_\_ Date : \_\_\_\_\_

Name of Client : \_\_\_\_\_ Place : \_\_\_\_\_



**SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES**

**VOLUNTARY**

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

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 First Director/Partner/Trustee: \_\_\_\_\_

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

**FORMAT**

Date:

To,

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

Dear Sir,

We refer to the trading account being opened/opened with you in the name \_\_\_\_\_ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened as a joint account in the names of the partner of the firm.

We agree that the obligations for shares purchased and /or sold by the firm will be handled and completed through transfer to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize \_\_\_\_\_, partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with **DALAL & BROACHA STOCK BROKING PVT. LTD.** and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (In Block Letters)	Signatures

FORMAT OF RESOLUTION

FORMAT

ON LETTERHEAD OF COMPANY

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ AT THEIR MEETING HELD ON \_\_\_\_\_ .

RESOLVED THAT the Company do place orders with/give instructions to **Dalal & Broacha Stock Broking Pvt. Ltd.** for investment in securities market/dealing in Equities/Derivatives & other products in Derivatives & cash segment of BSE Limited (BSE) & National Stock Exchange of India Limited (NSE).

RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose specimen signatures are appended here under.

No.	Name of Authorised person	Designation	Specimen Signature

Be and are hereby authorized severally to

1. Sign, execute and deliver orders, instructions letters, notes, contracts, share transfer forms and such other documents as may deemed necessary from time to time for the aforesaid purpose, and
2. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effects to the above resolution from time to time.

RESOLVED THAT Mr/Ms. \_\_\_\_\_ and / or \_\_\_\_\_ . Authorised Signatory of \_\_\_\_\_ (the Company) whose specimen signatures are attested below be and are hereby authorised to sign, execute and submit applications, undertakings, agreements and other requisite documents as may deemed necessary for KYC applications with CVLKRA.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution canceling or amending the same is passed by the Board of Directors of the Company is furnished to **Dalal & Broacha Stock Broking Pvt. Ltd.**

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to **Dalal & Broacha Stock Broking Pvt. Ltd.** and such other parties as may be required from time to time.

CERTIFIED AS TRUE COPY OF THE ORIGINAL

\_\_\_\_\_  
Director

**ON THE LETTER HEAD OF COMPANY:**  
(For Corporates)

**FORMAT**

Certificate dated \_\_\_\_\_

submitted by \_\_\_\_\_ to

SHARE HOLDING PATTERN of \_\_\_\_\_ as on \_\_\_\_\_

EQUITY / PREFERENCE (Please indicate and use separate sheets for equity / preference shares)

Sr. No.	Name \$	Number of shares held	Face value per share	Amt Paid up (Rs. In lakh)	% of total
1					
2					
3					
4					
5					
6					
7					
8					
Others					
TOTAL					100 %

\$ All initials to be expanded

**NOTES :**

Persons holding 5% or more of the paid up capital should be shown separately and not clubbed in Others.

Date :

Place : Authorised Signatory/Director (s)

**CERTIFICATE**

This is to certify that the shareholding in \_\_\_\_\_ as given above, based on my/our scrutiny of the books of accounts, records and documents it true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor

Chartered Accountant

Membership Number

**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



(Signature of First Director/Partner/Trustee)

**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



(Signature of First Director/Partner/Trustee)

**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.

**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

**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 First Director/Partner/Trustee:  \_\_\_\_\_

Date: \_\_\_\_\_

Version: 1.1  
1000.03.04.2014

**(Peforated Card)**

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

	First Director/Partner/Trustee	Second Director/Partner/Trustee	Third Director/Partner/Trustee
Name			
Specimen Signatures			

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:

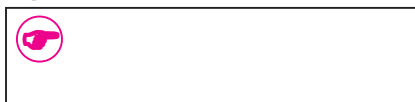
UCC Code

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

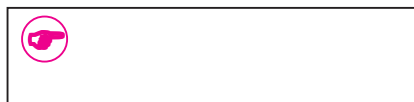
- Update my/our Aadhaar/UID number issued by UIDAI, Govt. of India in my/our name with my/our aforesaid accounts.
- Use my/our Aadhaar details to authenticate me/us from UIDAI
- Use my/our mobile number mentioned in my/our account for sending SMS alerts to me/us
- Consent for Authentication: I/We, the 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.

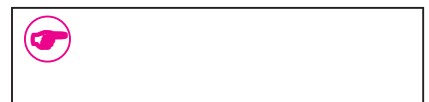
**Signatures**



**First Director/Partner/Trustee**



**Second Director/Partner/Trustee**



**Third Director/Partner/Trustee**

### Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Office under his / her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

#### (A) Association of Persons (AOP)

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

#### (B) Proprietary / Partnership Firms

BO accounts in the name of the Proprietorship Concern or Partnership Firm cannot be opened in CDSL system. KYC application form / KRA details are to be obtained for proprietor / partners and partnership firm. For Partnership firm, Partnership deed is also to be obtained. The pan card details of the partnership firm / proprietor is to be updated in the CDSL system.

BO's Account can have a maximum of three names associated with it: the Sole/ First Account holder, the First Joint holder and the Second Joint holder. One passport-size photograph of each applicant shall be pasted on the form along with their signatures across the photograph and Account Opening Form.

#### (C) Foreign Corporate

A duly signed declaration that the corporate has complied with, and will continue to comply with, FEMA Regulations and other applicable laws.

#### (D) Clearing Member (CM)

- a) If CM is a corporate body: True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary / notarized.  
b) If CM is a not a corporate body: • The CM account (CM Pool / CM Principal / 1 / Early Pay-in) may be opened in the CDSL system:  
i)- either in the name of the partnership firm/entity as mentioned on the Certificate of Registration with SEBI, or ii)- in the name of the proprietor or partners (up to three partners). • Photocopy of Certificate of Registration with SEBI, duly notarized.  
c) Asset Management Company (AMC) Pool Account: • This account is linked with a stock exchange. Following document is to be submitted by the AMC for opening the pool account with any DP of CDSL for the purpose of settlement of mutual fund units:  
• Letter / circular / instructions issued by the concerned Stock Exchange indicating the CM ID.

#### (E) OCBs

- a) Certified true copy of Board Resolution, certified by Managing Director/Company Secretary for persons authorized by the Board to act as authorized signatory (ies).  
b) Names of the authorized signatory (ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.  
c) Memorandum and Articles of Association of the Company.  
d) RBI Registration Certificate.  
e) Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.  
f) Certificate from overseas auditors in Form OAC or OAC – 1, as may be applicable.  
g) Statement of account from the Bank.

#### (F) Society

Registered Society: The account shall be opened in the name of the society.

Unregistered Society: a) The account shall be opened in the names of the members under "Individual" category (maximum three account holders).

b) All the documents, as applicable for account opening under individual category, shall be obtained.

#### (G) Trust

Public Trust/ Charitable Trust and Trust capable of holding property in its name (Registered Trust /Public Trust):

- a) Account shall be opened in the name of the Trust.  
b) Certificate of Registration of Trust under the Societies Registration Act/Public Trust Act,1860 / Bombay Public Trust Act,1950 / Public Trust Act, of relevant State.  
c) Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.  
d) Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee.

Private Trust:

- a) The Board of Trustees shall specify the names of the trustee/s who shall hold/ operate the demat account.  
b) The account shall be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).

Recognized Funds / Trusts/ Other similar entities.

The Funds/ Trusts/ Entities presently included under this category are as follows:

- a) Employees Provident Fund, which have been recognized by the Provident Fund Commissioner under Employee's Provident Funds & Miscellaneous Provisions Act, 1952.  
b) Employees Gratuity Fund, which are formed under Payment of Gratuity Act, 1972.  
c) Superannuation Fund which are formed under the guidelines issued by Income Tax Department.  
d) Venture Capital Funds which are registered by SEBI.  
e) ESOP Trust formed pursuant to the guidelines issued by SEBI).

Accounts of the above Funds/ Trusts/ Entities shall be opened in the name of above Funds/ Trusts/ Entities as they are recognized either under the Income Tax Act or Securities & Exchange Board of India Act, etc.

Documents to be furnished by the above Funds/ Trusts/ Entities and other Funds/ Trusts/ Entities, which are similarly placed, are:

- Certificate of Registration, if any, issued by the authority recognizing the Fund / Trust / Entity as such; • Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof; • List of Members on the Board of Trustees/Governing Body; • Certified true copy of the Resolution passed by the Board of Trustees/Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account; • Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee;

#### (H) Banks

- a) Certified true copy of Board Resolution, or b) Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.

#### (I) Mutual Funds

SEBI Registration Certificate clearly indicating the name of the Mutual Fund.

#### (J) Escrow Account

• KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue). • The photographs of the authorized signatory (ies) who would be operating the account. • PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system.

Procedure for opening Escrow account.

• The escrow account shall be opened in the name and form of < Issuer name> - <Reason for opening the escrow account>-operated by-<Operator Name> for e.g. Infosys Technologies Ltd. - Buyback Account - Operated by - Karvy Consultants Ltd. • The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained. • The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.

#### (K) Limited Liability Partnership Firm

Demat Account for Limited Liability Partnership Firm [which is registered under the Limited Liability Partnership Act (2008)]

Such an account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>. For example, if the company name is "ABC" then the demat account shall be opened in the name of <ABC Limited Liability Partnership> or <ABC LLP>.

The following documents shall be obtained :

- (i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. (ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. (iii) The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner]/DIN [Directors Identification Number] along with their signatures and photographs. (iv) PAN Card details of the LLP are to be entered in the CDSL system. (v) The bank details in the name of the LLP, as sole / first holder in the bank account. (vi) PAN card of the authorized signatories to be kept on record. (vii) In case of change in registered office address of the LLP, the DP should take on record the notice of change of address filed by the LLP with the Registrar

• Joint holders in the demat account may be allowed. • Nomination in such demat accounts shall not be allowed. • Such demat accounts shall be opened under "Corporate" status in the CDSL system with the sub-status "Limited Liability Partnership".



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

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

Application No.		Date													
DP Internal Reference No.															
DP ID	1	2	0	1	1	7	0	0	Client ID	0	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													
Search Name															
Second Holder's Name		PAN													
		UID													
Third Holder's Name		PAN													
		UID													

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

**Type of Account** (Please tick whichever is applicable)

Status										Sub – Status						
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB	<input type="checkbox"/> FII						<b>To be filled by the DP</b>					
<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Other (Specify)													
Date of Incorporation																
SEBI Registration No. (If Applicable)						SEBI Registration Date										
RBI Registration No. (If Applicable)						RBI Approval Date										
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____															

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

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

I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

**Clearing Member Details (To be filled by CMs only)**

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

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

**Bank Details (Dividend Bank Details)**

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

- (i) Photocopy of the 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.  
**MICR code starting with 000 will not be eligible for ECS.**

<b>OTHER DETAILS</b>	
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"/> Rs. 25,00,001/- to Rs. 100,00,000/- <input type="checkbox"/> More Than Rs. 100,00,000/-	
Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)	
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Please provide details as per Annexure 2.2 A.	
<b>Any other information</b>	

<b>SMS Alert Facility</b>	<input type="checkbox"/> Yes MOBILE NO. +91_____	<input type="checkbox"/> No									
Refer to Terms & Conditions given as <b>Annexure-2.4</b>	[(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)									
<b>easi</b>	<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 document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First Director/Partner/Trustee	Second Director/Partner/Trustee	Third Director/Partner/Trustee
Name			
Designation			
Signature			

(Signatures should be preferably in black ink). **(In case of more authorised signatories, please add annexure)**



## **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.

Reference No.: \_\_\_\_\_



CDSL  
Your Depository

ANNEXURE 2.4

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

**Definitions:**

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

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

**Availability:**

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

**Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto: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.



\_\_\_\_\_  
First Director/Partner/Trustee



\_\_\_\_\_  
Second Director/Partner/Trustee



\_\_\_\_\_  
Third Director/Partner/Trustee

**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 \_\_\_\_\_  
First Director/Partner/Trustee



\_\_\_\_\_   
Second Director/Partner/Trustee



\_\_\_\_\_   
Third Director/Partner/Trustee

Place: \_\_\_\_\_

Date: \_\_\_\_\_

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 Director/Partner/Trustee	Second Director/Partner/Trustee	Third Director/Partner/Trustee
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 Director/Partner/Trustee	Second Director/Partner/Trustee	Third Director/Partner/Trustee
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)

**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,



\_\_\_\_\_  
First Director/Partner/Trustee



\_\_\_\_\_  
Second Director/Partner/Trustee



\_\_\_\_\_  
Third Director/Partner/Trustee



**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 Director/Partner/Trustee



Second Director/Partner/Trustee



First Director/Partner/Trustee





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 

First Director/Partner/Trustee

Name [1]. \_\_\_\_\_ )  First Director/Partner/Trustee

Name [2]. \_\_\_\_\_ )  Second Director/Partner/Trustee

Name [3]. \_\_\_\_\_ )  Third Director/Partner/Trustee

WITNESS:

Sign : \_\_\_\_\_ )

Name : \_\_\_\_\_ )

Address: \_\_\_\_\_ )

\_\_\_\_\_ )

\_\_\_\_\_ )

I/ We accept

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

Director/Authorised Signatory

POA Registration No. \_\_\_\_\_

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



**Account Details Addition / Modification / Deletion Request Form**

Application No.											Date	D	D	M	M	Y	Y	Y	Y
-----------------	--	--	--	--	--	--	--	--	--	--	------	---	---	---	---	---	---	---	---

Please fill all the details in **Block Letters** in English

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

<b>Account Holder's Details</b>	
Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

I/We request you to make the following additions / modifications / deletions to my/our account in your records.

Fields to be Modified	Addition / Modification / Deletion (Please specify)	Existing Details	New Details
<b>POA</b>	<b>Addition</b>		

Attach an Annexure (with signature(s)) if the space above is found insufficient.

**(A) Names (B) Signatures of Holders with DP**

	First Director/Partner/Trustee	Second Director/Partner/Trustee	Third Director/Partner/Trustee
Name			
Signatures			

**For POA Registration**

	First / POA	Second POA	Third POA
(A) POA Name	<b>DALAL &amp; BROACHA STOCK BROKING PVT. LTD.</b>		
(B) Signatures	For <b>DALAL &amp; BROACHA STOCK BROKING PVT. LTD.</b>  Director/Authorised Signatory		

**For Office Use:**

I/We confirm that the details of the Beneficial Owners Stated above are true and correct.

Account Modified By: \_\_\_\_\_

Authorised Signatory

Seal of Depository Participant



# Dalal & Broacha Stock Broking Pvt. Ltd.

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

DP ID - 11700

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

## TARIFF FOR "BENEFICIARY ACCOUNT" OPENED ON CDSL W.E.F. 1ST APRIL '2018

Sr. No.	ITEM	TRADERS		INVESTOR	BSDA
		TRANSACTION DONE WITH D&B	TRANSACTION DONE WITH ANY OTHER CM		
1	ACCOUNT OPENING	FREE	FREE	FREE	FREE
2	MONTHLY SERVICE CHARGES	Rs. 100/-	Rs. 100/-	Rs. 50/-	★
3	STATUTORY CHARGES (POA)	Rs. 510/-	Rs. 510/-	Rs. 510/-	Rs. 510/-
4	ADVANCE DEPOSIT	Rs. 1000	Rs. 1000	Rs. 1000/-	Rs. 1000/-
5	ON MKT. SELL TRANSACTIONS	Rs. 30/- per TXN	0.05% - Min of 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	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. 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	FREE
9	DEMATERIALISATION	Rs.3/- Per Cert	Rs.3/- Per Cert	Rs.3/- Per Cert	Rs.3/- Per Cert
10	REMATERIALISATION	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/-	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	0.02% Min of Rs. 25/- per TXN
13	INVOCATION OF PLEDGE	0.01% Min of Rs. 25/- per TXN	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/-	Rs. 20/-
15	LATE TRANSACTION CHARGES	Rs. 50/- per INST.	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. 1000/- will be adjusted against monthly billing and should be replenished in multiples of Rs. 1000/- when the credit balance falls below Rs. 500/-.**
- 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

-  First Director/Partner/Trustee
-  Second Director/Partner/Trustee
-  Third Director/Partner/Trustee

P. T. O.



## Dalal & Broacha Stock Broking Pvt. Ltd.

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



DP ID - 11700

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

### TARIFF FOR "BENEFICIARY ACCOUNT" OPENED ON CDSL BY NRI'S

Sr. No.	ITEM	TRANSACTION	CHARGES	TRANSACTION
		DONE WITH D&B		DONE WITH ANY OTHER CM
1	ACCOUNT OPENING	FREE		FREE
2	MONTHLY SERVICE CHARGES	Rs. 175/-		Rs. 175/-
3	STATUTORY CHARGES (POA)	Rs. 510/-		Rs. 510/-
4	ADVANCE DEPOSIT	Rs. 2500		Rs. 2500
5	ON MKT. SELL TRANSACTIONS	FREE		0.05% - Min of Rs. 30/- per TXN
6	OFF MKT. BUY TRANSACTIONS	FREE		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		0.05% MIN OF RS. 30/- PER TXN - EQUITY DEBT 0.02% MIN RS.100/- MAX RS. 500 PER TXN
8	CUSTODY CHARGES	FREE		FREE
9	DEMATERIALISATION	RS.3/- PER CERT		RS.3/- PER CERT
10	REMATRIALISATION	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/-		ACTUAL MIN RS. 75/-
12	PLEDGE / UNPLEDGE ACCEPTANCE	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		0.01% MIN OF RS. 25/- PER TXN
14	EXTRA STATEMENT CHARGES	Rs. 20/-		Rs. 20/-
15	LATE TRANSACTION CHARGES	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. 1000/- will be adjusted against monthly billing and should be replenished in multiples of Rs. 1000/- when the credit balance falls below Rs. 500/-.**
- 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) 955532242**

(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](http://www.dalal-broacha.com)**

#### Signature of the Holders



1. First Director/Partner/Trustee



2. Second Director/Partner/Trustee



3. Third Director/Partner/Trustee

P. T. O.

**Details of ultimate beneficial owner including additional FATCA & CRS information**

\*Name of the entity

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

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

Customer ID/Folio Number

PAN  Date of Incorporation  DD /  MM /  YY  YY

City of incorporation

Country of incorporation

Entity Constitution Type  Partnership Firm  HUF  Private Limited Company  Public Limited Company  
Please tick as appropriate  Society  Aop/BoiSociety  Trust H Liquidator  Limited Liability Partnership  
 Artificial Judicial Person  Others specify \_\_\_\_\_

Please tick the applicable tax resident declaration  Yes  No

1. Is Entity\* a tax resident of any country other India.  Yes  No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

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

# In case Tax identification Number is not available, kindly provide its functional equivalent \$  
In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but entity is not a Specified U.S. Person, mention Entity's exemption code here

**FATCA & CRS Declaration**

*(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)*

**PART A** (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution  or Direct reporting NFE  (please tick as appropriate)

**GIIN**

**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

**Name of sponsoring entity**

**GIIN not available** (Please tick as applicabe)  **Applied for**

If the entity is a financial institution,  Not required to apply for-please specify 2 digits sub-category

Not obtained-Non participating FI



**PART B** (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company' (that is, a company whose shares are regularly traded on a established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company any one stock exchange on which the stock is regularly traded) Name of listed company _____ Name of relation: <input type="checkbox"/> Subsidiary of the listed Company or <input type="checkbox"/> Controlled by a listed Company Name of stock exchange _____
3.	Is the Entity an active NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4.	Is the Entity an passive NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____

**UBO Declaration**

- Category (Please tick applicable category)  Unlisted Company  Partnership Firm  
 Limited Liability Partnership Company  Unincorporated association/body of individuals  
 Public Charitable Trust  Religious Trust  Private Trust  
 Others (please specify) \_\_\_\_\_

Please list below the details of controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax identification Numbers for EACH controlling person(s).  
 Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person Country - Tax Residency Tax ID No. - or functional equivalent for each country"	Tax ID Type - TIN or other, please specify. Beneficial Interest - in percentage Type Code - of controlling person"	Tax ID Type - TIN or other, please specify Beneficial Interest - in percentage Type Code - of controlling person"
1. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [ ][ ][ ][ ][ ][ ] State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [ ][ ][ ][ ][ ][ ] State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [ ][ ][ ][ ][ ][ ] State: _____ Country: _____

# If passive NFE, please provide below additional details.

PAN/Any other Identification Number <small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)</small>		Occupation Type - <i>Service, Business, Others</i> <b>Nationality</b>		DOB - <i>Date of Birth</i> <b>Gender - Male, Female, Others</b>	
City of Birth - Country of Birth		Father's Name - <i>Mandatory if PAN is not available</i>			
1. PAN		Occupation Type		DOB	D D / MM / Y Y Y Y
City of Birth		Nationality		Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth		Father's Name			Others <input checked="" type="checkbox"/>
2. PAN		Occupation Type		DOB	D D / MM / Y Y Y Y
City of Birth		Nationality		Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth		Father's Name			Others <input checked="" type="checkbox"/>
3. PAN		Occupation Type		DOB	D D / MM / Y Y Y Y
City of Birth		Nationality		Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth		Father's Name			Others <input checked="" type="checkbox"/>

# Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.  
 \* To include US, where controlling person is a US citizen or green card holder  
 " In case Tax Identification Number is not available, kindly provide functional equivalent.

**FATCA & CRS Terms and Conditions**

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.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is 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 functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

**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.

**Name**

**Designation**

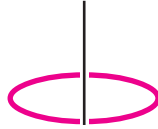
			Place: _____ Date: _____
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First Director/Partner/Trustee Second Director/Partner/Trustee Third Director/Partner/Trustee

**COMBINED KYC FORM - TRADING + DP**

SERIAL NO.:

CLIENT CODE



**NON-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	<b>DALAL &amp; BROACHA STOCK BROKING PVT. LTD.</b>
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:	<b>Chetan Mehta</b> Tel. No.: 91-22-6714 1468, 2282 2992 Email: compliance.officer@dalal-broacha.com
CEO name: phone no. & email id:	<b>Nailesh P. Dalal</b> Tel. No.: 91-22-2282 2992 • nailesh.dalal@dalal-broacha.com
For any grievance/dispute please contact <b>DALAL &amp; BROACHA STOCK BROKING PVT. LTD.</b> 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