



Achieve more with most accessible Trade Platform

**Account Opening Form
Trading & Demat Account**



Name of the Trading and Clearing Member:	ABANS Securities Private Limited
Name of the Clearing Member:	ABANS Securities Private Limited
SEBI Registration Number and Date:	Stock Broker - NSE, BSE, MSEI: INZ000194431, Aug 20, 2018 Depository Participant - CDSL : IN-DP-12-2015
Trading Member Code	NSE CM & FO: 13494, NSE CDS : 13323 BSE CM, FO & CDS: 3287 MSEI: 62100
CDSL DP Id.	12064800
Registered & Correspondence Office Address	36/37/38A, Nariman Bhavan, Backbay Reclamation Nariman Point, Mumbai – 400 021. Phone: 022-61790000 Fax: 022-61790010, Website: www.abans.co.in
Compliance Officer(s) Name Phone No. Email ID	Mr. Inderpal Bedi (Trading) & Mr. Ritesh Kotkar (DP) 022-61790000 compliance@abans.co.in
CEO Name Phone No. Email ID	Mr. Abhishek Bansal 022-61790000 compliance@abans.co.in
For any grievance/dispute please contact ABANS Securities Private Limited, at the above address or email id- invgriev@abans.co.in ; 91-022-66179000.	
In case not satisfied with the response, please contact the concerned exchange(s) at on; NSE Tel : 022-2659 8190 ; ignse@nse.co.in ; BSE Tel: 022-22728097 ; is@bseindia.com ; MSEI Tel : 022-61129000 ; investorcomplaints@msei.in ; CDSL Tel : 1800-200-5533 ; complaints@cdslindia.com	
Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, note that ABANS, its directors and its associates does proprietary trades in the cash and derivatives segment at NSE, BSE& MSEI.	

Risk Profiling – For Office Use Only			
Sr. No.	Particular	Yes	No
Client Code :			
1.	PAN already in System		
2.	Mobile No. / Email already in System		
3.	Whether under “ Special Category”		
	PEP		
	Pan Exempted		
	High / Supreme Court Judges		
	NRI		
	Institutional Client		
	Celebrities		
	Trust		
4.	Call Verification done		
5.	Financial Status & Occupation checked		
6.	Risk Profiling done		
7.	Risk Category Assigned		
	High Risk		
	Medium Risk		
	Low Risk		
8.	PLMA Norms Fulfilled		
9.	Whether SEBI debarred Entity		
10.	Whether debarred under UNSC list		
11.	Whether debarred as per Watch out investors		
Additional Information			
12.	Purpose of Opening Account		
	Investment		
	Trading		
	Arbitrage		
13.	Source of Funds for Trading/ Investment		
	Salary		
	Business		
	Inherited/ Gift		
	Investments		
	Professional Fees		
	Savings		
	Others (Please specify)		

Verification Details	
Name of the Person who Verified the details:	
Designation:	Employee ID:
Signature:	

NB. Categorization of clients would be changed only if there is change based on risk assessment of the client during his dealings with ABANS Securities Private Limited.

INDEX OF DOCUMENTS			
Sr. No.	Name of the document	Brief description of the document	Page
Mandatory Documents			
1.	Know Your Client (KYC) Application Form	KYC Form – Basic information about the client	5
		Additional KYC Details for Demat & Trading Account	7
2.	Rights and obligations of stock brokers, sub-brokers & clients as prescribed by SEBI and Stock Exchanges		9
3.	Internet & wireless technology-based trading facility provided by stock brokers to client		13
4.	Risk disclosure document for capital market and derivatives segments		14
5.	Guidance note- do’s and don’ts for trading on the exchanges(s) for investors		18
6.	Policies & Procedures		20
7.	Right and Obligations (SLB)		24
8.	Tariff Sheet (Charges Applicable on Trading Transactions)		28
9.	Additional details For Demat Account Opening		31
10.	Tariff Sheet Charges (Applicable on Depository Related Transactions)		33
11.	FATCA/CRS Declaration Form - (Individual)		35
12.	Nomination Details		36
13.	Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL		38
14.	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories		41
15.	Managing your demat account with CDSL Simple do’s and don’ts		44
Voluntary Documents			
16.	Running Account Authorisation	Authorisation for maintaining running account	29
17.	Electronic Contract Notes	Electronic Contract Notes (ECN) Terms and Conditions	30
18.	Authorisation For Demat	Issuance of delivery slip	34
		Maintain Basic Service Demat Account (BSDA)	34
19.	Power of Attorney		45
20.	Letter of Authority		47
21.	Aadhar, KRA Consent and Client Defaulter Declaration		50

KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)

Please fill in ENGLISH & in BLOCK LETTERS

Application Type* <input type="checkbox"/> New				Account Type* <input type="checkbox"/> Normal			
A. IDENTITY DETAILS (Please refer instruction A at the end)							
1. Name of Applicant				Please affix your recent passport size photograph and sign across it			
Maiden Name							
2. a. Mother's Name							
b. Father/Spouse's Name							
3. a. Gender		<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender					
b. Date of birth							
c. Marital Status		<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Other					
4a. Citizenship		<input type="checkbox"/> Indian <input type="checkbox"/> Other _____ (ISO3166 Country Code _____)					
4b. Residential Status		<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Person of Indian Origin					
		<input type="checkbox"/> Foreign National					
		Tick if applicable <input type="checkbox"/> Residence for tax purposes in jurisdiction(s) outside India					
		ISO 3166 Country Code of Jurisdiction of residence :			Place of birth :		
			Tax Identification Number or Equivalent :			ISO3166 Country Code of Birth :	
5a. PAN							
5b. Unique Identification Number (UID)							
6. Proof of Identity Submitted		<input type="checkbox"/> Pan Card <input type="checkbox"/> Other (Please Specify) _____					
B. ADDRESS DETAILS							
Current/ Permanent/ Overseas Address Details							
1. Contact Details				Fax			
Telephone (Office)				Email id			
Telephone (Residence)				Mobile No.			
2. Residence Address			Address Type		<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Unspecified		
Proof of Address		<input type="checkbox"/> Passport <input type="checkbox"/> Driving License <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Voter ID Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Simplified Measures Account- Document Type Code <input type="checkbox"/> Others					
POA Number				Date of Expiry			
Address							
City/Town		District		Pin Code			
State/UT*		Country		Country Code			
3. Correspondence/Local Address Details							
<input type="checkbox"/> Same as Current / Permanent / Overseas Address							
Address							

ADDITIONAL KYC DETAILS FOR DEMAT & TRADING ACCOUNT

A. Bank account details

Bank Name			
Bank Address			
Account Number		Account Type	
IFSC Code		MIRC Code	

- a. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- b. Photocopy of the Bank Statement having name and address of the BO (or)
- c. Photocopy of the Passbook having name and address of the BO, (or)
- d. Letter from the Bank.

In case of options (b), (c) and (d) above, IFSC code of the branch should be present / mentioned on the document.

B. Depository account(s) details:

Depository Name (NSDL / CDSL)			
Depository Participant Name			
Beneficiary Name			
Depository ID		Beneficiary ID	

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

Exchange	Cash	F & O	Currency Derivatives	SLB
NSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MSEI	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D. 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: ☐ No ☐ Yes (If Yes, please specify)

E. Other Details

Number of years of Investment / Trading Experience	<input type="checkbox"/> NIL <input type="checkbox"/> 1 to 5 <input type="checkbox"/> >5
Gross Annual Income Details	<input type="checkbox"/> Below Rs 1 Lakh <input type="checkbox"/> 1-5 Lakh <input type="checkbox"/> 5-10 Lakh <input type="checkbox"/> 10-25 Lakh <input type="checkbox"/> >25 Lacs
	Or Net-worth as on _____ date _____ (Net worth should not be older than 1year)
Occupation	Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector
	Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Self Employed
	Others <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____

F. Additional details

Mode of receiving of Contract note	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic Contract Note (ECN)
	If ECN Specify your Email ID _____
I wish to avail the facility of internet trading/ wireless technology/ mobile trading <input type="checkbox"/> Yes <input type="checkbox"/> No	
Nomination details (Please tick the appropriate options)	<input type="checkbox"/> I/We do wish to nominate <input type="checkbox"/> I/We do not wish to nominate

PEP Declaration							
I/we am not politically exposed person (PEP)				<input type="checkbox"/> Yes <input type="checkbox"/> No			
I/we am not related to a PEP				<input type="checkbox"/> Yes <input type="checkbox"/> No			
G. Dealings Through Sub-Broker And Other Stock Brokers							
Sub-Broker's Name:				SEBI Registration Number :			
Registered Office Address :				Phone :			
				Fax:			
				Website :			
*Whether dealing with any other stock broker/ sub-broker (If case dealing with multiple stock brokers/ sub-brokers, provide details of all.							
Name of Stock Broker		Name of Sub-Broker, if any		Client Code		Exchange	
Details of disputes/ dues pending from/ to such stock broker/ sub-broker:							

Declaration:

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

Place	
	Sole Holder
Name	
Signature	

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS & CLIENTS

As prescribed by SEBI and Stock Exchanges

1. The client shall invest/ trade in those securities/ contracts/ others 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 notification 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 capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all 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 clients.
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.

MARGIN

1. 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 directed by SEBI from time to time as applicable to the segment(s) in which the client's trades. The stock broker is permitted in the sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing Housing/ Clearing Corporation or SEBI) and the clients shall be obliged to pay such margins within the stipulated time.
2. The client understands that payment of margin 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

3. The clients 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.
4. 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.

5. The stock broker shall ensure that the money deposited by the clients shall be kept in 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 any other client or for any purpose other than the purposes other than purposes mentioned in the Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circular and notices of Exchange.
6. 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).
7. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued there under 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 there under.

BROKERAGE

8. 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

9. 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 compulsorily liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. within 5 days from the Pay-out date, 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.
10. In the event of the death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the clients 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 favour of a Nominee shall be valid discharge by the stock broker against the legal heir.
11. 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

12. The stock broker shall provide the clients with the relevant contact details of the concerned Exchanges and SEBI.
13. The stock broker shall co-operate in redressing grievances of the client in respect of all the transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
14. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per Rules, Byelaws and Regulations of Exchanges where the trade is executed and circulars/ notices issued there under as may be in force from time to time.
15. The stock broker shall ensure faster settlement of any arbitration proceeding arising out of transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
16. 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

17. 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.
18. 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. Not with standing any such terminations, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of the 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 maybe.
19. 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 o the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and the client shall continue to be in force as it is, unless the clients intimates to the stock broker his/its intention to terminate their relationship by giving the notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

20. The stock broker shall ensure due protection to the client regarding client's rights to dividend, rights or bonus share, etc. in respect of transaction 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.
21. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Byelaws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
22. 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.
23. The stock brokers 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.
24. The stock broker shall send a complete 'Statement of Accounts' for funds 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.
25. The stock broke shall send daily margin statement to the clients. Daily Margin statement shall include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/ due to client) with break up in terms of cash, Fixed Deposit Receipts (FDR's), Bank Guarantee and securities.
26. 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 here under. All actions required to be taken to ensure compliance of all transactions, which the client may enter into shall be completed by the Client prior to such transactions being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

27. 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 e-mail id through a physical letter. If the client has opted for internet trading, the request for change of e-mail id may be made through the secured access by way of client's specific user id and password.
28. The stock broker shall ensure that all ECN's 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-tamper able.

29. 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.
30. The stock broker shall retain ECN and acknowledgement of the email in the 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 contract note shall be maintained by the stock broker for the specified period under the extant regulation 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.
31. 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.
32. 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 he contract note electronically and/or take a printout of the same.

LAW AND JURISDICTION

33. 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, Byelaws and Regulations of the Exchanges in which the client chooses to trade and circulars/ notices issued there under or Rules and Regulations of SEBI.
34. 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 Byelaws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
35. 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.
36. 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 there to in the Rules, Byelaws and Regulations and circulars/ notices issued there under of the Exchanges/SEBI.
37. 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.
38. If the rights and obligations of the parties here to are altered by virtue of change in Rules and Regulations of SEBI or Byelaws, 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.

Place	Sole Holder
Name	
Signature	

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

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

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

Place	Sole Holder
Name	
Signature	

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RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information or 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 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 you 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: -

BASIC RISKS:**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/ derivative 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.

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.

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 deliver or receive a security/ derivatives contract.

Risk of Wider Spreads:

Spreads 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 Securities/ derivatives contracts. This in turn will hamper better price formation.

Risk-reducing Orders:

The placing 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.

A “market” order will be executed promptly, subject to availability of orders on opposite side, without regards 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 in that security/ derivatives contract.

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.

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 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.

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.

Risk of Rumours:

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

System Risk:

High volume trading will frequently occur at the market opening and before market close. Such higher

volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

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.

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.

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 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.

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

Effect of "Leverage" and "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 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 the 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.

Currency Specific risks:

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 denominations of the contract to another currency.

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.

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.

Risk of Option Holders:

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 sell his option in the secondary market nor exercises it prior to its expiration will necessarily loss 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.

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

Risks of Option Writers:

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

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.

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.

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.

GENERAL

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.

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.

Place	
	Sole Holder
Name	

Signature

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

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com; www.bseindia.com; www.msei.in and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/ Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
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/ Stock 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, may not be made for 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 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 displaying all the receipts/ deliveries of funds. The statement shall also explain the retention of funds, if any.
 - c. On the date of settlement, the stock broker may retain the requisite 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 due from clients as on date of settlement and for next day's business, he may retain funds/ margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d. You need to bring arising from the statement of account or settlement so made to the notice of the stock broker in writing preferable within 7 (seven) working days from the date of receipts of funds 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 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 Investor’s 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.

Place	
	Sole Holder
Name	
Signature	

POLICIES & PROCEDURES

A. Policy for Penny stock: -

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk. Because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market conditions and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

B. Setting up client's exposure limits/ Risk Management Policy: -

- The stock broker may from time to time impose ad vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/ or kind of securities in respect of which order can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker (including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits in security specific/ volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any orders through the stock broker trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to placed orders or trade in securities through the stock broker, or it may subject any order placed by client to a review before its entry into the trading system and may refuse to execute/ execution of orders due to but not limited to the review before its entry of margin/ securities or the orders being outside the limits set by stock broker/ exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. That client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.
- We have margin-based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security s per VAR based margining system of the stock exchange and/ or margin defined by RMS based on their risk perception.
- In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

C. Applicable brokerage rate: -

- Brokerage will be charged within the limits prescribed by SEBI/ Exchange.
- The applicable brokerage rate is mentioned in the KYC and any future charge in the brokerage rate will be communicated to the client in writing & with his/ her consent.

D. Imposition of penalty/ delayed payment charges: -

- Clients will be liable to pay in/ delayed payment charges for non-making payment of their pay/ margin obligation on time as the exchange requirement/ scheduled at the rate up to 1.5% per month.
- Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/ as a consequence of/ in relation to any of the orders/ traders/ deals/ actions of the clients, the same shall be borne by the client.

E. The right to sell client's securities or to close clients 'positions, without giving notice to the client, on account of non-payment of client's dues: -

- If a client fails to make payment of consideration due to ABANS in respect of any one or more securities purchased by him before the pay-in date notified by the Exchange from time to time, ABANS shall be at liberty to sell / liquidate the securities received in pay-out, as per the policy of ABANS, after taking into account any amount lying to the credit of the Client. The loss, if any on

account of liquidation shall be to the account of the Client. Without prejudice to ABANS other rights, ABANS shall be entitled to liquidate/close out all or any of the Client's positions, without giving notice to the Client, for non-payment of margins or other amounts, outstanding debts, etc. ABANS on best effort basis will try and inform the client and give him reasonable time for payment. However, it will be the responsibility of client to track his margins/obligations by going through margin statements sent to the client on daily basis. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the Client.

- ABANS has the right but not obligation, to cancel all pending orders and to sell/close/ liquidate all open position /securities/ shares when mark to market percentage reaches or crosses stipulated margin percentage, whichever is earlier. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. The client shall also be solely liable for all and any penalties and charges levied by the exchange(s).
- In accordance with SEBI circular CIR/HO/MIRSD/DOP/CIR/P/2019/2019 dated June 20, 2019 a stock Broker (i.e. ABANS) shall be entitled to liquidate the securities of the client in case of non-payment stock broker shall compulsorily liquidate the stock within 5 days from payout day.

F. Shortages in obligations arising out of internal netting of trades: -

• Policy for Shortages - Market and Internal

1. PAYOUT SHORTAGES

There are instances where we are unable to deliver shares to clients on their purchases, which is mainly due to the reasons elaborated below along with the methods followed to deliver the shares or credit the amount to the client who has purchased the same;

- a. Market - Non receipt of shares from the exchanges
 - The shares shall be delivered on the receipt of the same from the Exchange
 - The shares will be closed out at the rate arrived at by the Exchange in case shares are not received from the Exchange.
- b. Internal - Non receipt of shares from one of our own clients who has sold short and is unable to deliver
 - The same will be closed out at the Internal closeout rate based on the calculation mentioned below;
HIGHER OF:
(CLOSING PRICE ON TRADE DAY (T day) OR CLOSING PRICE ON SETTLEMENT DAY (T+2 day)) x 7%
- c. Partly Market and Partly Internal
Where shares are received from the Exchange;
 - Market Short: The shares shall be delivered on the receipt of the same from the Exchange
 - Internal Short: The same will be closed out at the rate based on the calculation mentioned below;
HIGHER OF:
(CLOSING PRICE ON TRADE DAY (T day) OR CLOSING PRICE ON SETTLEMENT DAY (T+2 day)) x 7%
 - Where shares are not received from the Exchange;
 - Market Short and Internal Short: The shares will be closed out at the rate arrived at by the Exchange

2. PAYIN SHORTAGES

In case a client is unable to deliver the shares sold by him to fulfil the pay-in obligation he will be liable to be penalized as per our Auction Policy mentioned below;

- a. Market Auction – The shares will be auctioned as per the rules of the concerned exchange or closed out directly in case of T2T group.
- b. Internal Auction – The shares shall be closed out and the client will receive a debit as per the calculations mentioned below which is exactly similar to the credit given to the client who has not received shares due to an internal shortage;

HIGHER OF:

(CLOSING PRICE ON TRADE DAY (T day) OR CLOSING PRICE ON SETTLEMENT DAY (T+2

day)) x 7%

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

- We have margin-based RMS system. Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non-availability/ shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/ non-making of payment for their payin obligation/ lawful outstanding debts.

Temporarily suspending or closing a client's account at the client's request: -

- On the request of the client in writing, the client account can be suspended temporarily and same can be activated and the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However, client shares/ ledger balance settlement can take place.
- On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

ii. Deregistering a client: -

Not with standing anything to the contrary stated in the mandatory & voluntary documents, the stock broker shall be entitled to terminate the mandatory & voluntary documents with immediate effect in any of the following circumstances:

- If the action of the client is prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- If there is any commencement of a legal process against the client any law on force;
- On the death/ lunacy or other disability of the Client;
- If the client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- If the Client suffers any adverse material change in his/ her/ its financial position or defaults in any other mandatory & voluntary documents with the Stock broker;
- If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- If the Client is in breach of any term, condition or covenant of this mandatory & voluntary documents;
- If the Client has made any material misrepresentation of facts, including (winding limitation) in relation to the security;
- If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- If the Client have taken or suffered to be taken any action of its reorganization, liquidation or dissolution;
- If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for industrial and Financial Reconstruction or under any other providing protection as a relief undertaking;
- Of any covenant or warranty of the Client is incorrect or untrue in any material respect.

iii. Inactive Client account: -

- Client account will be considered as inactive if the client does not trade within the previous financial year. Calculation will be done at the financial year and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client as per instruction of the client. The client has to make written request or personal request to the directors and re-do their KYCs if applicable for reactivation of their account.

iv. Client Acceptance of Policies and Procedures stated herein above: -

This Policies and Procedures may be amended/ Changed unilaterally by the broker, provided the changed is informed to me/ us with through any one or more approved means or methods. This Policies and Procedures shall always be read along with the mandatory & voluntary documents and shall be compulsorily referred to while deciding any dispute/ difference or claim between me/ us and stock broker before any court of law/ judicial/ adjudicating authority including arbitrator/ mediator, etc.

Right and Obligations (SLB)

The Securities and Exchange Board of India (hereinafter referred to as "SEBI") has formulated and issued the Securities Lending Scheme, 1997 (hereinafter referred to as "SEBI Scheme") and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 and SEBI circular no. CIR/MRD/DP/19/2014 dated June 3, 2014 for facilitating lending and borrowing of securities through a Clearing Member registered with SEBI.

Obligations on Clearing Member

1. Before entering into an arrangement with a Client under SLBS, The Clearing Member shall inform the Client that it has entered into an agreement with the Clearing Corporation and it has been admitted as Participant of Clearing Corporation to facilitate lending and borrowing of securities.
2. The Clearing Member has made the Client aware of and the Client has understood the precise nature of the Clearing Member's liability under SLBS including any limitations, the liability and the capacity in which the Clearing Member acts.
3. Clearing Member and the Client shall be bound by scheme and circulars issued by SEBI from time to time, scheme/circulars issued by clearing corporation/stock exchange, and/or the Rules, Byelaws, Regulations of the stock exchange and or clearing corporation as applicable and as in force from time to time.
4. **ISSUE OF CONFIRMATION MEMO:** - The Clearing Member shall, upon execution of the Client's transaction on the order matching platform of the Clearing Corporation, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the Clearing Corporation from time to time.
5. **MONEY / SECURITIES TO BE KEPT IN SEPARATE BANK / DEMAT ACCOUNT :-** The Clearing Member shall keep the money / securities deposited by the Client in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Clearing Member for itself or for any other Clients or for any purpose other than the purposes mentioned in the scheme/circulars issued by SEBI, Rules, Bye-laws and Regulations of clearing corporation/stock exchange, as may be applicable and circulars issued by clearing corporation/stock exchange thereunder from time to time.
6. **UPDATE ON SETTLEMENT PROCESS:-** The Clearing Member shall inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.
7. **COMPLIANCE WITH KYC NORMS:-** The Clearing Member undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the Clearing Corporation or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; provided however that the Clearing Member may so disclose information about its Client to any person or authority with the express permission of the Client.
8. **RETURN OF SECURITIES AND LENDING FEES TO CLIENT AS A LENDER:** - Where the Client is a lender unless otherwise agreed upon between the Clearing Member and the Client, the Clearing Member shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the Clearing Corporation. The Clearing Member shall ensure the return of the lending fees to the Client within such time as may be prescribed by the Clearing Corporation.
DELIVERY OF SECURITIES TO CLIENT AS A BORROWER: - Where the Client is the borrower unless otherwise agreed upon between the Clearing Member and the Client, the Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the Clearing Corporation from time to time. The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral. Notwithstanding any other

provisions of the agreement between the Clearing Corporation and Clearing Member, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars issued by SEBI, SLBS and the Circulars issued there under by Clearing Corporation.

9. **ABIDE BY LAW & ACQUAINTANCE TO LAW:** - The Clearing Member declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under from time to time, and the terms and conditions of the agreement between the Clearing Corporation and Clearing Member to the notice of the Client and the Client agrees to comply with and adhere to the same.
10. **PROCESSING CHARGES:** - The Clearing Member agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued there under from time to time.

Rights of Clearing Member

1. **CONSIDERATION:** - The Clearing Member is entitled for charges, fees, other levies and / or any such other charges, subject to such limits as may be permitted by the Clearing Corporation in its circulars from time to time.
2. **MARGINS:** - The Clearing Member is empowered to call upon the Client to pay such margins as may be specified by the Clearing Corporation from time to time.
3. **RECOVERY:** - The Clearing Member shall be entitled to recover from the Client the loss or charges, fees, other levies and / or any such other charges that has been paid by the Participant to the Clearing Corporation or imposed by the Clearing Corporation on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Clearing Member against the Client's liabilities / obligations.
4. **Due Diligence:** - The Clearing Member shall continuously satisfy itself about the genuineness and financial soundness of the Client and investment objective relevant to the services to be provided.

Obligations on Client

1. **ELIGIBILITY CRITERIA:** - The Client represents that he is eligible to participate in the SLBS and has satisfied the criteria specified by the Clearing Corporation.
2. **UPDATE & COMPLY WITH THE SETTLEMENT PROCESS:** - Notwithstanding anything contained in this document, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery / payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules / procedures of the Clearing Corporation.
3. **PROCESSING CHARGES:** - The Client agrees to pay the Clearing Member, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Clearing Member.
4. **CHANGE IN KYC INFORMATION:** - The Client agrees to immediately notify the Clearing Member in writing whenever there is any change of information in the "Know Your Client (KYC) Form" provided by the Client to the Clearing Member, in the manner prescribed by SEBI / clearing corporation / stock exchange.
5. **AUTHORISED REPRESENTATIVE:** - The Client agrees to be bound by the instructions issued by its authorized representative, if any, in accordance with the letter authorizing the said representative to deal on its behalf.
6. **RETURN OF SECURITIES:** - The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the Clearing Corporation in the Circulars issued from time to time.
7. **PAYMENT OF MARGINS:** - The Client agrees to pay such margins as may be specified by the Clearing Member in accordance with the requirement of Clearing Corporation or SEBI from time to time.
8. **EXPOSURE / POSITION LIMITS:** - The Client agrees to abide by the exposure / position limits, if any, set by the Clearing Member or the Clearing Corporation or Stock Exchange or SEBI from time to time.
9. **SECURITIES LENT TO BE UNENCUMBERED:** - The Client agrees and warrants that these securities lent are free from lien, charge, pledge or any encumbrance(s) of

whatsoever nature.

10. **INSOLVENCY:-** The Client agrees to immediately furnish information to the Clearing Member 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 it or if any litigation which may have material adverse bearing on its net worth has been filed against it.
11. **COLLATERAL:-** At the discretion of the Clearing Member, where the Client deposits the required collateral with the Clearing Member, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

Rights of Client

1. **RIGHT OF CLIENT AS LENDER TO RECEIVE SECURITIES OR FINANCIAL COMPENSATION AND LENDING FEES:-**
Where the Client is the lender unless otherwise agreed upon between the Clearing Member and the Client, the Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the Clearing Corporation from time to time. The client shall be entitled to receive lender's fees for these securities lent.
2. **RECONCILIATION OF ACCOUNT:-** The Client and Clearing Member shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.
3. The Client shall satisfy itself of the capability of the Clearing Member and wish to deal through the Member for lending and borrowing of securities

TERMINATION:- The relationship between Client and Clearing Member shall forthwith terminate if the Clearing Member for any reason ceases to be a Clearing Member under the circumstances as prescribed by the Clearing Corporation. Further, either of the parties shall be entitled to terminate the relationship by giving prior written notice of at least one month to other party without assigning any reason. Such termination shall, however, not affect the liabilities/obligations of either party arising out of the transactions under the SLBS entered into prior to the date of the notice of termination.

AMENDMENT:- The rights and obligations contained in this document shall not be altered, amended and /or modified by the parties in a manner that shall be in contravention of the provisions of acts, rules, regulations, notices and circulars of Clearing Corporation / SEBI governing SLBS segment or derogatory to rights and obligations prescribed herein.

ARBITRATION:- The Clearing Member and the Client shall co-operate with each other and with the Clearing Corporation in redressing their grievances in respect of transactions under the SLBS. All disputes and differences or questions arising out of or in relation to relationship between the Client and Clearing Member including failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of these rights and shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided in accordance with the procedures as prescribed by the SEBI/Clearing Corporation under the SLBS, the Circulars issued there under or Rules, Bye-laws and Regulations of Clearing Corporation.

GOVERNING LAW AND JURISDICTION:- The relationship between Clearing Member and a Client and all difference/disputes/claims arising thereto shall be governed by and construed in all respects in accordance with the laws of India. In relation to any legal action or proceedings to which the Clearing Corporation is not a party, the parties irrevocably submit to the exclusive jurisdiction of the court of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought before an inconvenient forum. In relation to any legal action or proceedings to which Clearing Corporation is a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

CANCELLATION OF TRANSACTIONS:-

Notwithstanding anything contained in the Agreement between Clearing

Corporation and Clearing Member or in the Rights and Obligations statement of Clearing Member and the Client, the Clearing Corporation shall be entitled to cancel transactions under the SLBS, either on an application by a Clearing Member or suo moto or under regulatory directions, and in such an event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the Clearing Corporation nor the Clearing Member shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

DISCONTINUATION OF SLBS AND PARTICIPATION IN SLBS:-The Clearing Corporation shall be entitled to discontinue the SLBS or the participation of the Clearing Member in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the Clearing Corporation from time to time.

The words and expressions in this document are used for the purpose of convenience only and shall not affect the construction of the terms of this document. Words and expressions which are used in this document, unless the context required otherwise, have the same meaning as assigned thereto in the rules, bye-laws, regulations, circular, notices issued there under by Clearing Corporation / SEBI.

Place	
	Sole Holder
Name	
Signature	

Tariff Sheet (Charges Applicable on Trading Transactions)

Type of Charge	Amount(excludes GST)
Equity Intraday	Rs. 10 per executed order or 0.01% of Turnover whichever is lower
Equity Delivery	Zero Brokerage
Futures	Rs. 10 per executed order or 0.01% of Turnover whichever is lower
Options*	Rs. 10 per executed order
Currency Future	Rs. 10 per executed order or 0.01% of Turnover whichever is lower
Currency Options*	Rs. 10 per executed order
Call & Trade Services	Rs. 200 per order placed through a Dealer at ABANS
NRI - Equity Delivery	Rs. 200 per executed order or 0.1% of Turnover whichever is lower
NRI - Futures & Options*	Rs. 200 per executed order placed using a CP code

Additional Charges Applicable on Trading transaction

Exchange transaction charges	Charged by the respective exchanges
Clearing charges	Charged by the clearing member
Securities Transaction Tax (STT)	Direct tax levied under STT Ac
Goods & Services Tax	Goods and Service Tax as applicable over and above Tariff
SEBI Turnover fees	Charge levied by SEBI on each transaction
Stamp Duty	Charged by respective State where the investor Resides
For Delivery based trades, a minimum of Rs. 0.01 will be charged per contract note.	
Clients who opt to receive physical contract notes will be charged Rs. 20 per contract note plus courier charges.	
A brokerage of 0.5% of the contract value will be charged for contracts where physical delivery happens.	
Brokerage will not exceed the rates specified by SEBI and the Exchanges; All Statutory and Regulatory charges will be levied at actual. Brokerage is also charged on expired, exercised, and assigned Options contracts	
*Turnover for Options is calculated as (Strike + Premium)*Lot Size	
Charges for other value-added services will be applicable at the time of availing such service, upon your consent.	

The above tariff is subject to change. Changes (if any) will be intimated 30 days in advance. The changes will be updated in the app and website of ABANS and the client is requested to check same and stay updated from time to time on charges.

Place	
	Sole Holder
Name	
Signature	

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. I request you to maintain running balance in my trading account & retain the credit balance (accruing either by way of payments made by me or by way of any credit that is due to me on account of the transactions undertaken by me through my trading account) and to use the unused funds towards my margin/ pay-in/ other future obligation(s) at any segment(s) of any or all the Exchange(s)/ Clearing corporation unless I instruct you otherwise.
2. I request you to settle my fund ☐ **Once in every calendar Quarter** ☐ **R** **Once in a calendar Month**
3. I request you to maintain a minimum credit balance of Rs. 10,000/- at any point of time.
4. If my/ our account turns to debit on any day during the settlement period, the same may be treated as settlement of funds for that settlement period and ASPL will not be required to be settle the credit if any arising subsequently during the settlement period. I/We agree that I/We shall be liable to pay the debit standing to my account on the settlement date or any other date.
5. In case I have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet my settlement/ margin obligations on the settlement date and for next 5 trading days, calculated in the manner specified by the exchanges from time to time.
6. I confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 days from the date of receipt of funds or statement of account or statement related to it, as the case may be.
7. I confirm you that I can revoke the above-mentioned authority at any time.
8. I confirm that we would like to receive all documents including the statement of account (funds) that have to be furnished to me at the contact address/ e-mail id furnished by me.

Place	
	Sole Holder
Name	
Signature	

1. 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.
2. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through email as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
3. 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.
4. 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.
5. 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.
6. 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.

Place	Sole Holder
Name	
Signature	

ADDITIONAL DETAILS FOR DEMAT ACCOUNT OPENING

Application No.		Date	
DP Internal Reference No.			
DP ID		Client ID	
Joint Holder details			
Particular	Sole / First Holder	Second Holder	Third Holder
Name			
PAN			
UID			
Exchange Name & ID			
UCC			
Details of Guardian (in case the account holder is minor)			
Guardian's Name			
Relationship with the applicant			
PAN			
PEP Declaration			
I/we am not politically exposed person (PEP)			
I/we am not related to a PEP			
Bank account details			
Bank Name			
Bank Address			
Account Number			
IFSC Code			
Account Type			
MIRC Code			
<p>a. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)</p> <p>b. Photocopy of the Bank Statement having name and address of the BO (or)</p> <p>c. Photocopy of the Passbook having name and address of the BO, (or)</p> <p>d. Letter from the Bank.</p> <p><i>In case of options (b), (c) and (d) above, IFSC code of the branch should be present / mentioned on the document.</i></p>			

- I/We hereby authorize you to receive credits automatically into my/ our Depository participant maintained with ABANS.
- I/We hereby authorize ABANS to debit my depository participant account based on 2-factor authentication or electronic consent or EDIS facility or authorization given by me.
- I declare that Mobile number: _____, Email ID: _____ is my registered mobile no and Email ID and I/we hereby authorize ABANS and depository to be provide SMS/E-mail alert facility on

my registered mobile number and email id.

4. I/We hereby authorize you to credit interest / dividend, directly to my bank account details provided above through ECS.
5. I/We authorize ABANS to debit all charges pertaining to my/our depository participant to my/our trading account and vice versa. All such transfers will be at the discretion of ABANS and I/we hereby agree to abide by the same and make payment promptly when requested to do so.
6. I wish to receive account statement as per SEBI regulation. ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
7. I/We wish to instruct ABANS to accept all pledge instructions to my account without any further instructions from me/us (if not marked the default option would be NO). ☐ Yes ☐ No
8. I wish to receive annual report : ☐ Physically ☐ Electronically ☐ Both
9. I/We would like to share my/our email-id with RTA. ☐ Yes ☐ No
10. I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____
11. I/we wish to receive all the documents related to account opening documents, welcome letter and CMR Copy (digitally signed) on the registered e-mail id provided. None of this would be physically sent unless requested the same.
12. Easi : 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. ☐ Yes ☐ No

Declaration:

1. I have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I declare that the particulars given by me above are true and to the best of my knowledge as on the date of making this application. I agree and undertake to intimate the DP any change(s) in the details / particulars mentioned by me in this form. I further agree that any false / misleading information given by me or suppression of any material information will render my account liable for termination and suitable action.
2. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me and I have understood the same and I agree to abide by and to be bound by the rules as are in force from time to time for such account.

Place		Date	
	Sole / 1 st Holder	2 nd Holder	3 rd Holder
Name			
Signature			

Tariff Sheet Charges (Applicable on Depository Related Transactions)	
Type of Charge	Amount(excludes GST)
For receiving Securities in Demat account (BUY)	Nil
DP charges for Delivery Sell orders – On Market	Rs.8/- + Rs 5.50/- (CDSL Charges)
DP charges for Delivery Sell orders – Off Market	0.03% or Rs.25/- whichever is higher
Demat (Per certificate)	Rs. 150/- per certificate
Remat (Per certificate)	Rs. 150/- per certificate + CDSL Charges
Courier charges per Demat/Remat/Demat Rejn.	Rs. 100/-
Pledge Request	Rs. 20/- + Rs. 12 per request (CDSL Charges)
Unpledge Request	Rs. 20/- + Rs. 12 per request (CDSL Charges)
Pledge invocation	Rs. 20/-
Statement periodic / adhoc (physical mode) per request	Rs. 50 per request upto 10 pages. Every additional page at Rs. 5 (+Courier charges at actual)
Delivery instruction Book (DIS Book)	First Delivery Instruction Book – Free Rs.100/- per DIS Book
Cheque Bounce Charges	Rs. 350/-
Failed Transactions	Rs. 50 per ISIN
Modification in CML	Rs. 25/- per request
KRA Upload / Download	Rs. 50/-
Annual Maintenance Charges (charged quarterly)	
Individuals/Non-Individual (except Corporate)	Rs.300/-
Non-Individual – Corporate	Rs.1000/-
POA - Stamp charges payable upfront	Rs.500/-
Stamp Duty on transaction	As per Stamp Duty Act

Note:

DP bills should be paid on or before the due date. Abans Securities Private Limited reserves the right to charge interest at 18% on the outstanding bill amount if not paid within the due date, and may discontinue operation of the demat account till such time that the payment is received. For all purposes, the bill date shall be construed as the date of demand and the bill will be considered as the bill cum notice for payment.

Demat account debits are recoverable from the trading account credit balances, if any, subject to exceptions whatsoever, at the Management's sole discretion.

The above tariff is subject to change. Changes (if any) will be intimated 30 days in advance. Annual Maintenance Charge (AMC) will be collected on a quarterly basis, and is non-refundable. GST is applicable on all above charges except stamp charges.

Place		Date	
BO ID			
	Sole / 1st Holder	2nd Holder	3rd Holder
Name			
Signature			

AUTHORISATION FOR DEMAT ACCOUNT

1. NON-ISSUANCE OF DELIVERY SLIP

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) in favour of ABANS Securities Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

☐ Option 2:

I/We do not require the Delivery Instruction Slip(DIS)for the time being, Since I/We have issued a POA in favour of ABANS Securities Pvt. Ltd. for executing the delivery instructions for settling stock exchange trades [settlement related transaction] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

2. MAINTAIN BASIC SERVICESDEMAT ACCOUNT (BSDA): Yes ☐No ☐

Keeping in view my past and proposed transaction and holding, I would like to continue / avail normal depository participant facilities. I have also noted that maintaining a normal depository participant account (Non BSDA), normal annual subscription charges as per the ABANS Demat tariff would be applicable.

Terms and Conditions:

- a) I/We hereby confirm and understand that by providing this authorization we specifically waive off the right to assess my Demat Account as BSDA account even if applicable by eligibility.
- b) Salient Features of BSDA are kept on www.abansone.co.in and I/we hereby confirm to have read and understood the salient features of BSDA account.
- c) I/We confirm and understand that my Demat Account would be charged and treated as normal Demat Account (NON BSDA) until opted otherwise by a specific Communication to ABANS.

Place		Date	
BO ID			
	Sole / 1st Holder	2nd Holder	3rd Holder
Name			
Signature			

FATCA/CRS Declaration Form - (Individual)

Information required	1 st Account holder	2 nd Account holder	3 rd Account holder
Name of the account holder			
Are you a tax resident of only India?			
Specify country of residence for tax purpose (if above clause is no)			
Specify Tax Identification No. / Others			
Do you have any asset outside India?			
Source of wealth outside India			
Declaration			
<p>1) Under penalty of perjury, I certify that:</p> <p>a. The applicants (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Colombia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person) or</p> <p>b. The applicant is taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)</p>			
<p>2) I understand that the Participant is relying on this information for the purpose of determining my status in compliance with FATCA/CRS. The participant is not able to offer any tax advice on FATCA/CRS or its impact. I shall seek advice from professional tax advisor for any tax questions.</p>			
<p>3) I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.</p>			
<p>4) I agree that as may be required by domestic regulators/tax authorities the Participant may also be required to inform reportable details to CBDT or close or suspend my account.</p>			
<p>5) I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct, and complete including the taxpayer identification number / functional equivalent number of the applicant.</p>			
Sole / 1st Holder Signature	2 nd holder Signature	3 rd holder Signature	

Nomination Details

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

I/We do not wish to nominate any one for this demat account. ☐

I/We nominate the following person who is/are entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my / our death. ☐

* Marked is Mandatory field

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name:			
*First Name:			
Middle Name			
*Last Name:			
*Address:			
*City			
*State			
*Pin			
*Country			
Telephone No.			
FAX No.			
PAN No.			
UID			
Email ID			
*Relationship with the BO:			
Date of birth (mandatory if Nominee is a minor) DD-MM-YYYY			
Name of the Guardian of Nominee (if nominee is a minor)			
First Name:			
Middle Name			
Last Name:			
*Address of the Guardian of nominee:			
*City			
*State			
*Country			
*Pin			
Age			
Telephone No.			
FAX No.			
Email ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Residual Securities (Please tick any one			

nominee. If tick not marked default will be first nominee):			
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* Note : Residual securities in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

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

Place		Date	
BO ID			
	Sole / 1st Holder	2 nd Holder	3 rd Holder
Name			
Signature			
Note: One witness shall attest signature.			
Name of Witness			
Address of Witness			
Signature of Witness			

(To be filled by ABANS)

Nomination Form accepted and registered vide Registration No. _____ dated _____	_____ For ABANS Securities Pvt Ltd (Authorised Signatory)
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Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

[SMS Alerts will be sent by CDSL to BOs for all debits]

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

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not 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.

Authorization for receiving SMS Alerts from CDSL

1. 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.
2. 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.

3. 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.
4. 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.
5. 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.

Place		Date	
BO ID			
Mobile Number on which messages are to be sent:		The mobile number is registered in the name of	
E-mail ID: (Please write only ONE valid email id on which communication, if any is to be sent)			
	Sole / 1st Holder	2 nd Holder	3 rd Holder
Name			
Signature			

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

General Clauses

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

Beneficial Owner Information

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

Fees/ Charges/ Tariff

5. The Beneficial Owner shall pay such chargers 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 dematerialization 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 pledges any/ 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 the 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 materialize 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 Clauses 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right in 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,
 - a. 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.
 - b. 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 of 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 the document.

Declaration by the Beneficial Owner

I/We hereby confirm having read/ explained and understood the contents of the “Rights and Obligation” document(s). 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 the depository participant’s designated website, if any.

I would like to receive Rights and Obligations documents in ☐ Physical ☐ Electronic form

Place		Date	
BO ID			
	Sole / 1st Holder	2 nd Holder	3 rd Holder
Name			
Signature			

MANAGING YOUR DEMAT ACCOUNT WITH CDSL

SIMPLE DO'S AND DON'Ts

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BOID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (SMS Alerts Related to Transactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at complaints@cdslindia.com
10. Register for CDSL's Internet based facility "easi" to monitor your demat account yourself. Contact your DP or visit CDSL's website: www.cdslindia.com for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.

Place		Date	
BO ID			
	Sole / 1st Holder	2 nd Holder	3 rd Holder
Name			
Signature			

POWER OF ATTORNEY

To all to whom these presents shall come I/ We _____

_____ Indian Inhabitants send greetings.

Whereas I/ We have a beneficiary Account bearing No. 12064800 _____
In the name and style of _____ (Hereinafter referred to as the said 'Account') with ABANS Securities Pvt. Ltd., having its Registered Office at Unit No. 36-37-38A, Nariman Bhavan, Nariman Point, Mumbai - 400021, and DP ID: 12064800 (hereinafter called "The DP") and I/ We, am/ are desirous of appointing an agent/ attorney to operate said account on my/ our behalf in the manner herein after appearing.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSETH THAT I / WE THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT Abans Securities Pvt. Ltd. (name of the attorney / Clearing Member) bearing CM-BP-ID : IN516754 (NSDL-NSE Pool account), 120648000000597 (CDSL-NSE Pool Account) and CM-BP-ID: IN632872 (NSDL-BSE Pool account), 120648000000335 & 120648000000301 (CDSL-BSE Pool Account) as my/our true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name for the purpose of delivering the same to the clearing house of the recognized stock exchanges towards any segment which includes Mutual Funds transactions in respect of securities sold / redeemed by me / us through Abans Securities Pvt. Ltd. (SEBI Reg. No. INZ000194431) being member of NSE & BSE (details of the attorney's DEMAT accounts involved as per annexure underneath) or, to do instruct the aforesaid Depository Participant to debit securities and / or to transfer securities from the aforesaid account for securities payin purposes, to pledge the securities in favour of Abans Securities Private Limited (name of Trading cum Clearing Member) for the limited purpose of meeting my / our margin requirements in connection with the trades executed by me / us on any recognized stock exchange through Abans Securities Private Limited, and also to re-pledge such securities to the clearing member / clearing corporation as the case may be, and to return to me / us the securities received by Abans Securities Pvt. Ltd. (DP ID 12064800) erroneously or those securities that it was not entitled to receive from me / us, and also to send consolidated summary of my / our scrip-wise buy and sell positions taken with average rates to me / us by way of SMS / E-mail on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time. This authority is restricted to the pay-in and / or margin obligations aforesaid arising out of the transactions of sale effected by me / us through Abans Securities Pvt. Ltd. (name of Trading cum Clearing Member) and I / We ratify the instructions given by the aforesaid Clearing Member to Abans Securities Pvt. Ltd. (DP ID 12064800) named herein above in the manner specified herein. And I / We hereby state that this power of attorney can be revoked by me/us at any time without notice. This document shall be subject to exclusive jurisdiction of the Courts in Mumbai only.

I/ We do hereby undertake to ratify whatever the said Attorney of their/ its agents or any substitutes may lawfully do in and by virtue of these presents IN WITNESS whereof I/ We have executed this Power of Attorney on this _____ day of _____.

Place	Date		
	Sole / 1st Holder	2 nd Holder	3 rd Holder
Name			
Signature			
Mobile No.(mandatory)			
Name of Witness			
Address of Witness			
Signature of Witness			

ANNEXURE:

NSE POOL ACCOUNT:	CDSL-12064800 00000597, NSDL -IN300966- 10510504
NSE EARLY PAYIN ACCOUNT:	CDSL- 1100001100018581
BSE POOL ACCOUNT:	CDSL - 12064800 00000335 / 12064800 00000301, NSDL - IN300966- 10511488
BSE EARLY PAYIN ACCOUNT:	CDSL - 1100001000022682
NSE UNPAID SECURITIES ACCOUNT:	CDSL - 12064800 00013547
BSE UNPAID SECURITIES ACCOUNT:	CDSL - 12064800 00013532
CLIENT SEC. MARGIN PLEDGE ACCOUNT	CDSL-12064800 00013737

For ABANS SECURITIES PVT. LTD.

Authorized Signatory

Place:

Date:

1. ORDER PLACEMENT INSTRUCTIONS

I/we understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I/we have facility to trade online through Internet and wireless technology, I/we may have to place orders by physically visiting/calling/emailing the call centre/head-office/branch specified for the said purpose by ABANS in case of breakdown of internet connectivity or other similar reasons. I/we hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I/we understand the risk associated with placement of verbal orders and accept the same. I/we shall not disown orders under the plea that the same were not placed by me provided I/we am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I/we indemnify ABANS and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

2. ERRORS AND OMISSIONS

I/we understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances ABANS shall make all reasonable efforts to rectify the same and ensure that I/we am not put to any monetary loss. I/we understand and agree that I/we shall not hold ABANS responsible beyond this and claim additional damages/loss. I/we understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by ABANS.

3. NO MARKET MANIPULATION

I/we undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I/we am found to be indulging in such activities, ABANS has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I/we undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I/we wish to deal for other clients also, I/we undertake to apply to SEBI through ABANS to obtain a sub broker registration. In case ABANS perceives that I/we am acting as an unregistered sub broker, ABANS has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to ABANS without the requirement of any notice from ABANS. Further, ABANS has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I/we agree and undertake to indemnify ABANS from any loss/ damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I/we confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I/we agree to inform ABANS, in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I/we fail to inform the same and ABANS on its own comes to know of such action, ABANS has the right to suspend/close my trading account and refuse to deal with me. Also, ABANS can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me/us.

6. PMLA DECLARATION

I/we declare that I/we have read and understood the contents and the provisions of the PMLA Act,

2002, which were also explained to me by ABANS officials. I/we further declare that I/we shall adhere to all the provisions of PMLA Act, 2002.

I/we further undertake and confirm that;

- a. I/we do not have any links with any known unlawful persons/institutions
- b. I/we am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I/we am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7. INDEMNIFICATION

I/we hereby indemnify and hold ABANS, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the ABANS directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

8. INDEMNITY OF JOINT HOLDINGS

I/we hereby agree to indemnify and hold ABANS harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

9. DELAYED PAYMENT CHARGES

I/we understand that in case my account is in debit balance and/or if I/we have insufficient funds to manage my trading positions, I/we will be charged an interest up to 0.05% per day as delayed payment charges. I/we confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures.

10. NRI DECLARATION

I/we understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to ABANS every time the investment is made.

11. THIRD-PARTY PAYMENTS

ABANS shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by ABANS. ABANS shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by ABANS and the credit for the same has been given in the client's ledger, ABANS shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, ABANS reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. ABANS, its Directors and employees shall not be responsible for any consequential damages or losses.

12. NO DEALINGS IN CASH

ABANS as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub- Broker/ Remisier/ Employee/ Authorised Person of ABANS.

13. DISCLOSURE OF PROPRIETARY TRADING BY ABANS

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, ABANS discloses to its clients about its policies on proprietary trades. ABANS does proprietary trades in the cash and derivatives segment at NSE & BSE.

14. DELIVERIES

The client shall ensure that the shares are properly transferred to the designated demat account of ABANS, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/ABANS. In case the client fails to transfer the shares on time to ABANS, ABANS shall not be responsible for any loss/damages arising out of such delayed transfers.

15. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then ABANS has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. ABANS, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of ABANS.

After such square off of open positions by ABANS, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, ABANS shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. ABANS, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

Place		Date	
	Sole / 1st Holder	2 nd Holder	3 rd Holder
Name			
Signature			

Aadhar, KRA Consent and Client Defaulter Declaration

1. I/ We hereby submit voluntarily at my/ our own discretion, the physical copy of Aadhar card/ physical eAadhar/ masked Aadhar/ offline electronic Aadhar xml as issued by UIDAI (Aadhar) to ASPL for the purpose of establishing my/ our identity/ address proof and voluntarily give my/ our consent to open account/ process instructions for the said purpose with ASPL in my/ our name/s individual capacity/ies using my/ our Aadhar or as an authorized signatory in non-individual accounts.
2. The consent and purpose of collecting Aadhar has been explained to me/us. ASPL has informed me/ us that my/our Aadhar submitted to the DP/ Broker herewith shall not be used for any purpose other than mentioned above, or as per requirements of law. ASPL has also informed me/ us that this consent and my/ us Aadhar will be stored along with my/ our account details.
3. I/ We hereby declare that all the information voluntarily furnished by me/ us is true, correct and complete. I/We will not hold ASPL or any of its officials responsible in case of any incorrect information provided by me/ us.
4. I/We hereby authorize you to use the above furnished details for registration KRA, CERSAI, exchanges and other parties involved for the purpose of KYC registration.
5. I / We hereby declare that I have not been declared that I /we have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/ CIBIL (Credit Information Bureau of India Ltd.) etc. I /we further declare that the above-mentioned declaration/ statement is true and correct.

	Sole / 1st Holder	2 nd Holder	3 rd Holder
Name			
PAN			

Place		Date	
	Sole / 1st Holder	2 nd Holder	3 rd Holder
Name			
Signature			