ANNEXURE - 1 **MANDATORY**

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Compliance Officer Details:

Compliance Officer Name	Exchanges	Phone No.	Email id:
Pankaj Walunjkar	BSE, NSE AND MCX	022-61778605	ssl.compliance@stockholdingservices.com

MD & CEO Details:

Name	Phone No.	Email id:
Mr. Prabhat Kumar Dubey	022-61778603	md_desk@stockholdingservices.com

For any grievance/dispute please contact StockHolding Services Limited at STOCKHOLDING House, P - 51, T.T.C. Industrial Area, MIDC, Mahape, Navi Mumbai - 400 710 or email id: grievances@Stockholdingservices.com and Ph. No.: 022-6177 8600. In case not satisfied with the response, please contact the concerned exchange(s) on:
• BSE Ph. No.: 022-2272 8097

ANNEXURE - 1 **MANDATORY**

- E-mail Id: is@bseindia.com • NSE Ph. No.: 022-2659 8190/Toll Free No. 18002660058 • E-mail Id: ignse@nse.co.in

DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003 StockHolding Services Limited. Besides doing client based business also does its own investment and/or trading. "Proprietary Trading Disclosure noted"

Filing of complaints on SCORES -Easy and Quick

Register on SCORES portal

Mandatory details for filing complaints on SCORES: Name, Pan, Address, Mobile and Email ID.

Benefits: Effective Communications, speedy redressal of grievances.

SEBI SCORES website https://scores.sebi.gov.in| Link for investor Charter https://stockholdingservices.com/investor-charter

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM MANDATORY

A. IMPORTANT POINTS:

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

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

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

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

(*Documents having an expiry date should be valid on the date of submission.)

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

MANDATORY

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

Types of entity	Documentary requirements
Corporate	□ Copy of the balance sheets for the last 2 financial years (to be submitted every year). □ Copy of latest share holding pattern including list of all those holding control, directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/ Whole time director/MD (to be submitted every year). □ Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. □ Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. □ Copies of the Memorandum and Articles of Association and certificate of incorporation. □ Copy of the Board Resolution for investment in securities market. □ Authorised signatories list with specimen signatures. □ Self-attested copy of PAN card as an Identity proof of each individual shareholder holding controlling stake i.e. more than 25% of the equity share capital. If the controlling shareholder is non-individual (judicial person), the self-attested copy of PAN card of the natural person who has controlling ownership of/entitlement to - i. more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company; ii. more than 10% of the capital or profits of the juridical person, where the juridical person is a partnership; or iii. more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals. Note: Where the client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies.
Partnership firm	□ Copy of the balance sheets for the last 2 financial years (to be submitted every year). □ Certificate of registration (for registered partnership firms only). □ Copy of partnership deed. □ Authorised signatories list with specimen signatures. □ Photograph, POI, POA, PAN of Partners.
Trust	□ Copy of balance sheets for the last 2 financial years (to be submitted every year). □ Certificate of registration (for registered trust only). □ Copy of Trust deed. List of trustees certified by managing trustees/CA. □ Photograph, POI, POA, PAN of Trustees. □ List of beneficiaries (with 15% or more interest in the trust) of the trust along with their identity proof like PAN Card, Voters ID Card, valid Passport etc.
HUF	□ PAN of HUF. □ Deed of declaration of HUF/ List of coparceners. □ Bank pass-book/bank statement in the name of HUF. □ Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	□ Proof of Existence/Constitution document. □ Resolution of the managing body & Power of Attorney granted to transact business on its behalf. □ Authorized signatories list with specimen signatures.
Banks/institutional Investors	□ Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. □ Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	□ Copy of SEBI registration certificate. □ Authorized signatories list with specimen signatures.
Army/ Government Bodies	□ Self-certification on letterhead. □ Authorized signatories list with specimen signatures.
Registered Society	□ Copy of Registration Certificate under Societies Registration Act. □ List of Managing Committee members. □ Committee resolution for persons Authorised to act as Authorised signatories with specimen signatures. □ True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST

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

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

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

2. Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent,

   MICR Code or/and IFSC of the bank should be submitted. (Not more than 4 months old)

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

   a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/Authorised person's office.

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

5. For non-individuals:

   a. Form need to be initialized by all the authorized signatories.

   b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

MANDATORY

Annexure - 2

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individual

Please fill this form in ENGLISH and in BLOCK LETTERS.

IDENTITY DETAILS

Name of the Applicant

FIRST NAME

MIDDLE NAME

LAST NAME

PHOTOGRAPH

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

Father's/ Spouse Name **Gender** □Male □ Female

Date of Birth D D M M Y Y Y Y

Nationality

Status □ Resident Individual □ Non Resident □ Foreign National (QFI)

Marital status □ Married □ Unmarried

PAN

Aadhaar ID No.

Specify the proof of Identity submitted

ADDRESS DETAILS

Residence Address	Permanent Address (If different from Residence Address or overseas address mandatory for NRI applicant)
City/Town/Village	City/Town/Village
Pin	Pin
State	State
Country	Country
Tel.No.	
Off. Tel. No.	
Fax No.	
Mobile No.	
Email ID	
Specify the proof of add. submitted for Residence Add.	Specify the proof of add. submitted for Permanent Add.

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.

Date D D M M Y Y Y Y

Signature of the Applicant

FOR OFFICE USE ONLY

□ (Originals verified) True copies of documents received **MANDATORY**

□ (Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory **Seal/Stamp of the intermediary**
Date:

Annexure - 2

MANDATORY

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individual

Please fill this form in ENGLISH and in BLOCK LETTERS.

IDENTITY DETAILS

PHOTOGRAPH

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

Name of the Applicant

Date of Incorporation D D M M Y Y Y Y **PAN**

Place of Incorporation

Date ofCommencement of Business D D M M Y Y Y Y

Registration No. (e.g. CIN)

Status (please tick any one): □Private Limited Co. □ Public Ltd. Co. □ Body Corporate □ Partnership □ Trust □Charities □ NGO's □ FI □ FII □ HUF □ AOP □ Bank □ Government Body □ Non-Government Organization □ Defense Establishment □ BOI □ Society □ LLP □ Others (please specify) _____

ADDRES DETAILS

Correspondence Address	Regd. Address (If different from Correspondence Address)
City/Town/Village	City/Town/Village
Pin	Pin
State	State
Country	Country
Tel. No.	
Off. No.	
Fax No.	
Mobile No.	
Email ID	
Specify the proof of add. submitted for Correspondence.	Specify the proof of add. submitted for Regd. Add.

DECLARATION

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

Date D D M M Y Y Y Y

Signature of the Authorised Signatory

FOR OFFICE USE ONLY

Annexure - 2 **MANDATORY**

- (Originals verified) True copies of documents received **KNOW YOUR CLIENT (KYC) APPLICATION FORM**
- (Self-Attested) Self Certified Document copies received

for Non-Individual

Please fill this form in ENGLISH and in BLOCK LETTERS.

Signature of the Authorised Signatory **Seal/Stamp of the intermediary**

Date:

Annexure A **MANDATORY**

Photographs of Promoters/Partners/Karta/Trustees/Co-parceners and Whole time directors and of persons authorized to deal in securities.

Name

Residential Address

Tel./ Mob. No.

PHOTOGRAPH

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

Annual Income(INR) □ <1 Lac □1-5 Lacs □ 5-10 Lacs □ 10 -25 Lacs □ 25 Lacs - 1 Cr. □ >1 Cr.

Aadhaar No. of Promoter / Partners / Karta

PAN Din No.

□ Promoter □ Partner □Karta □ Trustees □ Whole Time Director □ Authorised Person

Photographs of Promoters/Partners/Karta/Trustees/Co-parceners and Whole time directors and of persons authorized to deal in securities.

Name

Residential Address

Tel./ Mob. No.

PHOTOGRAPH

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

Annual Income(INR) □ <1 Lac □1-5 Lacs □ 5-10 Lacs □ 10 -25 Lacs □ 25 Lacs - 1 Cr. □ >1 Cr.

Aadhaar No. of Promoter / Partners / Karta

PAN Din No.

□ Promoter □ Partner □Karta □ Trustees □ Whole Time Director □ Authorised Person

Photographs of Promoters/Partners/Karta/Trustees/Co-parceners and Whole time directors and of persons authorized to deal in securities.

Name

Residential Address

Tel./ Mob. No.

Annual Income(INR) □ <1 Lac □1-5 Lacs □ 5-10 Lacs □ 10 -25 Lacs □ 25 Lacs - 1 Cr. □ >1 Cr.

PHOTOGRAPH

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

Aadhaar No. of Promoter / Partners / Karta

PAN Din No.

□ Promoter □ Partner □Karta □ Trustees □ Whole Time Director □ Authorised Person

Photographs of Promoters/Partners/Karta/Trustees/Co-parceners and Whole time directors and of persons authorized to deal in securities.

Name

Residential Address

Tel./ Mob. No.

Annual Income(INR) □ <1 Lac □1-5 Lacs □ 5-10 Lacs □ 10 -25 Lacs □ 25 Lacs - 1 Cr. □ >1 Cr.

PHOTOGRAPH

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

Aadhaar No. of Promoter / Partners / Karta

PAN Din No.

□ Promoter □ Partner □Karta □ Trustees □ Whole Time Director

Photographs of Promoters/Partners/Karta/Trustees/Co-parceners and Whole time directors and of persons authorized to deal in securities.

Name

Residential Address

Tel./ Mob. No.

Annual Income(INR) □ <1 Lac □1-5 Lacs □ 5-10 Lacs □ 10 -25 Lacs □ 25 Lacs - 1 Cr. □ >1 Cr.

PHOTOGRAPH

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

Aadhaar No. of Promoter / Partners / Karta

PAN Din No.

□ Promoter □ Partner □Karta □ Trustees □ Whole Time Director

DECLARATION

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

Date D D M M Y Y Y Y

Signature of the Authorised Signatory

For Individuals & Non-individuals **Annexure - 3** **MANDATORY**

TRADING ACCOUNT RELATED DETAILS

BANK ACCOUNT(S) DETAILS

Bank Name	Bank 1 (Default Payout)	Bank 2
Branch Address		
Bank A/c. No.		
A/c Type	□Savings □Current □NRE □NRO □Other	□ Savings □ Current □ NRE □ NRO □ Other
IFSC		
MICR		

Please provide Cancelled Cheque leaf for IFSC & MICR

DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	NSDL/CDSL			
	NSDL/CDSL			
Shares bought by you will be transferred to your DP A/c stated by you in first row				

OTHER DETAILS

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

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

□ Rs. 10,00,001/- to Rs. 25,00,000/- □ Rs. 25,00,001/- to Rs. 100,00,000/- □ Above Rs. 100,00,000/-

Or

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

2. Occupation (please tick any one and give brief details)	□ Private Sector □ Public Sector □ Government Service □ Business □ Student □ Professional □ Agriculturist □ Retired □ Housewife □ Others
3. PEP (Please tick, if applicable)	□ Politically Exposed Person □ Related to a Politically Exposed Person □ Not a Politically Exposed Person
4. Any other information	

TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchange/Segment	NSE , BSE			MCX
	Cash (NSE &BSE) & Mutual Funds	Future and Options (ONLY NSE)	Currency (Only NSE)	Commodity Derivatives
All Segments	Sign here	Sign here	Sign here	Sign here
Sign here				

If you do not wish to trade in any of segments / Mutual Fund, please mention here. _____

Sign here _____

PAST ACTIONS

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

MANDATORY

DEALINGS THROUGH Authorised Person (AP) AND OTHER STOCK BROKERS		
If client is dealing through the AP, provide the following details:		
		Other AP □ Remiser □
AP Name	**STOCK HOLDING CORPORATION OF INDIA LTD.**	
Address	301, 3rd Floor, Center Point, Dr. Baba Saheb Ambedkar Road, Parel, Mumbai - 400 012.	
BSE Reg. No.	INS012951146/01-12538	
NSE Reg. No.	INS239740835/23-12538	
AP's Signature with seal		

Whether dealing with any other stock broker/authorised person (if in case dealing with multiple stock brokers/authorised persons, provide details

Name of Stock Broker		Name of AP, if any		Client Code		Exchange	

Details of disputes/dues pending from/to such stock broker/AP: _____

ADDITIONAL DETAILS

Whether you wish to receive □ Physical Contract Note □ Electronic Contract Note Specify your Email id, if applicable:

(SSL will charge Rs. 25/- on dispatch of physical contract note.)

Whether you wish to avail of the facility of INTERNET TRADING / WIRELESS TECHNOLOGY (please specify): □ YES □ NO

(By availing this facility, client can trade both Online and Offline)

Number of years of Investment/Trading Experience:

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

Any other information .....

GST Number: .....

INTRODUCER DETAILS (Optional)

Name of the Introducer

Add. & Phone No. of the Introducer

Status of the Introducer: Remisier□ Authorized Person □ Existing Client □

Others, Please Specify _____

Signature of the Introducer

MANDATORY

Annexure-A

Format for providing Nomination

UCC CODE:

I/We wish to make a nomination. [*As per details given below*]					
Nomination Details					
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.					
Nomination can be made upto three nominees in the account.			**Details of 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
Mandatory Details					
1	**Name of the nominee(s) (Mr./Ms.)***				
2	**Share of each Nominee**	Equally [If not equally, please specify percentage]	**%**	**%**	**%**
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	**Relationship With the Applicant (If Any)**				
*** Date of Birth and Name of Guardian to be provided in case of minor nominee(s)**					
Non-mandatory Details					
4	**Address of Nominee(s)/ Guardian in case of Minor** City / Place: State & Country:				
	PIN Code				
5	**Mobile / Telephone No. of nominee(s)/ Guardian in case of Minor**				
6	**Email ID of nominee(s)/ Guardian in case of Minor**				
7	**Nominee/ Guardian (in case of Minor) Identificationdetails –** [Please tick any one of following and provide details of same] □Photograph & Signature PAN □Aadhaar Saving Bank account no. Proof of Identity Demat Account ID				
Name(s) of holder(s)					**Signature(s) of holder***
Sole / First Holder (Mr./Ms.)					

		MANDATORY
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)

MANDATORY

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To Trading Member/Participant's Name Trading Member/Participant's Address	Date	D	D	M	M	Y	Y	Y	Y
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
0									
Third Holder Name									

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

Nameand Signature of Holder(s)*

1._____2._____3_____

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

MANDATORY

DECLARATION

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

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Name				
Place		Date		Sign here

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

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

Date:_____ **FOR StockHolding Services Ltd.**

Authorised Signatory

MANDATORY

ANNEXURE - 4

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSONS AND CLIENTS AS PRESCRIBED BY SEBI AND STOCK EXCHANGES

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

CLIENT INFORMATION

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

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client

to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/ notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall havesubmitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchangeswhere the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/ close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/ delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/ proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/ Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-a-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, authorised person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the authorised person or the cancellation of his/its registration with the Board or/ withdrawal of recognition of the authorised person by the stock exchange and/or termination of the agreement with the AP by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rightsand Obligations' document(s) governing the stock broker, authorised person and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time wherethe trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made

through the secured access by way of client specific user id and password.

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

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/ e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/ stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/ stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, authorised person and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued there under or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/ regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/ SEBI shall also be brought to the notice of the clients.

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Additional Rights and Obligations

49. StockHolding Services Limited shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI

MANDATORY

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITYPROVIDED 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. whichuse 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 Servicewill 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.

ANNEXURE - 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1. Risk of Higher Volatility:

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

2. Risk of Lower Liquidity:

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

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

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

3. Risk of Wider Spreads:

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

4. Risk-reducing orders:

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

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

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

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

5. Risk of News Announcements:

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

6. Risk of Rumors:

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

7. System Risk:

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

1. 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.

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

1.8 System/Network Congestion:

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

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

1. Effect of "Leverage" or "Gearing":

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

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

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

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

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

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

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

2. Currency specific risks:

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

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

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

2.3 Risk of Option holders:

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

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

4. Risks of Option Writers:

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

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

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

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

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

4. GENERAL

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

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

Sign here _____



Client's Name: _____

MANDATORY

ANNEXURE-

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Sign here _____



Client's Name: _____

MANDATORY

ANNEXURE-7

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

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges at www.bseindia.com/www.nseindia.com and SEBI website www.sebi.gov.in.

2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.

3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.

4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.

5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.

6. Obtain a copy of all the documents executed by you from the stock broker free of charge.

7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.

9. Don't share your internet trading account's password with anyone.

10. Don't make any payment in cash to the stock broker.

11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.

12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentionedin the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.

13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:

    a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

    b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

    c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock

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

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell ofthe relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stockexchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/authorised person 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/authorised persons have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

POLICIES AND PROCEDURES

a) Refusal of orders for penny stocks and/or "Z" group stocks :

- StockHolding Services Ltd. (SSL) reserves the right to allow or deny trading in 'penny stocks' without assigning any reason for the same.
- For this purpose the stocks, which are appearing in the list of illiquid securities issued by the Exchanges every quarter and/or any other stock that is quoting below par may be considered as 'illiquid/penny stocks'.
- SSL may also refuse to accept orders pertaining to stocks specified in "Z" group by the exchanges from time to time.
- SSL may refuse to accept the orders pertaining to stock settled in physical delivery.
- Clients must ensure that trading in "Penny Stock" does not result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny Stock" does not operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in "Penny Stocks" at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of SSL.
- Notwithstanding the above, in case of sale of "Penny Stocks", clients should ensure the delivery of shares to SSL before the pay-in date. SSL will not be liable for any loss arising out of trading in penny/illiquid stocks or due to non- delivery of shares for pay-in purpose.

b) Trading in 'T' & 'TS' Group (Trade to Trade Group) Securities:

As per Exchange, in 'T' & 'TS' group scrips, the buy and sell positions are to be settled on gross delivery basis on each side and netting off is not allowed. Client can buy the shares to extent of exposure available with him and sell the shares in these group scrips only to the extent of quantity of shares available in client's demat account. As such client cannot do intra- day transactions in these scrips without having sufficient funds/shares with them. In view of the above, clients are requested to find out the scrip group before placing the order with the dealer. Clients are also requested to avoid doing BTST trades in these group scrips. Losses arising out of transactions done by client in these scrips including losses incurred on account of auction/close-out due to non-delivery of shares will be borne by the client.

c) Setting up of client's exposure limits:

SSL shall allow exposure limits based on clear credit in the account of the client. SSL also reserves right to provide or deny adhoc/blanket exposure to client in case client has debit balance or insufficient clear credit balance in his account with SSL at the time of placing order. SSL may or may not accept collateral securities like Shares, Fixed Deposit Receipts, Government Securities etc. as margin deposit for the purpose of providing exposure against the prevailing market value of shares after deducting the rate prescribed by exchange. Clients willing to avail collateral based exposure may have to complete necessary formalities as may be prescribed by SSL from time to time. SSL reserves the right to increase/ decrease the brokerage rate, provided the same is informed to client in writing.

d) Brokerage rates:

Normally, in Cash Segment, the brokerage rate of 0.55% is charged on delivery transactions and 0.12% (both legs of transactions inclusive) is charged for intra-day transactions to client. In Derivatives Segment, the brokerage at the rate of 0.05% is normally charged on both legs of Intraday and/or Carry Forward transactions in Futures Trading and in case of Options Trading, Rs. 50/- per lot. However, the rate of brokerage may differ from client to client as may be decided by the management of SSL. SSL reserves its rights to increase/decrease the brokerage, provided the same is informed to clients in writing. SSL may charge minimum brokerage of Rs. *25/-* per scripts or per contract note. However, brokerage rate shall not exceed maximum limit of 2.5% on trade price or Rs.0.25 per share as prescribed by the regulatory authority.

e) Imposition of penalty/delayed payment charges by either party, specifying the rate and the period:

SSL reserves right to charge penalty @18% p.a. on the amount outstanding for the period from the date the amount becomes due till the date of realization of amount. SSL may also impose penalty, late payment charges or delayed payment charges for delay in making payments to SSL. The objective of charging such a penalty/charge is to compel the client to clear the dues in a timely manner. Penalty and other charges if any, levied by Exchanges pertaining to trading of the clients shall be recovered from the respective clients Note. (Inspection related penalty cannot be levied on clients)

f) The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues (limited to the extent of settlement/margin obligation):

Without prejudice to SSL's other rights (including the right to refer a matter to arbitration), SSL shall be entitled, without giving notice to the client, to liquidate/close out all or any of the client's positions for non-payment of margins or settlement obligation or other trade related amounts, outstanding debts etc. and adjust the proceeds of such liquidation/ close out, if any, against the client's liabilities/obligations, selling/disposing of collateral securities. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client. Apart from selling of

shares for debit, SSL may impose penalty / delayed payment charges / processing charges / interest as mentioned here- in-above.

g) Shortage in obligations arising out of internal netting of trades:

Any shortage of shares deliverable on BSE by seller client of SSL to buyer client of SSL i.e. internal shortages, are normally offered by SSL in "Self-Auction" process of BSE. In case if the Auction Offers are not available on the floor of the exchange or in case of other exchanges where "Self-Auction" process is not available, SSL may give close out for such trades at the rate not exceeding 20% of the market price prevailing on day prior to the day of auction as declared by the exchanges or SSL may also buy shares from the market on the pay-out day.

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

SSL reserves the right to disallow a client to take further position or to close out the client's existing open position:

- There is shortfall in the margin deposited by client with SSL.
- If SSL has reached its limit in that particular scrip.
- If the client has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the banned period.
- The client does not pay on or before T, T+I or T+2 day the dues/margins as may be required by the exchange.
- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There are any unforeseen adverse market conditions or abnormal rise or fall in the market.
- The client is suspected to be resorting to any illegal trading practices or is suspected to be indulging in money laundering activates.

i) Temporary suspension or closing of client's account at the client's request:

SSL may, on a specific request in writing received from the client (in this regard,) for temporarily suspend/close of the client's account for trading by sending a written request to the dealing office. For removing this temporary suspension, the client will have to request in writing for removal of suspension.

SSL on its own may also suspend the client's account:

- In case of non-payment of dues or margin money or non-fulfillment of compliance requirements.
- If there is not a single active demat account linked to trading account.
- If any other non-compliance observed in the account.
- The client may also be required to fulfill other conditions, on a case to case basis.
- If the client is debarred by Exchange / SEBI.

j) Deregistering a client:

On a written request received from the client, SSL shall close the account of the client provided of client's securities/ funds are settled.

SSL may, at its absolute discretion, decide to deregister a particular client.

The illustrative circumstances under which SSL may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.

k) Inactive (dormant) Account:

In case where the client does not operate the trading account for a continuous period of two years, the same will be considered as 'Inactive (dormant) Account' for trading to prevent misuse of client codes and to avoid execution of transaction in such inactive client account due to punching errors. The Client will not be permitted to do any transaction

in such inactive client account due to punching errors. The Client will not be permitted to do any transaction till the account is made 'Active' by the branch/dealing office on client's request. For re-activation of such 'Inactive' account, the client will have to submit request in writing for activation along with duly signed photo copy of Identity Proof i.e. PAN Card / Voter ID Card / Passport. Alternatively, the client can personally visit the branch/dealing office for in-person verification and submitthe aforesaid identity proof. The in-person verification can also be done through electronic KYC (e- KYC). The branch/dealing office will maintain the proof for future reference.

l) Proprietary Trading:

The Member might trade in its own proprietary account in the equity or derivatives segment.

Client acceptance of policies and procedures mentioned herein above-

I/We have understood the policies and procedures; I/We agree to sign the same. I/We am/are aware that the undated policies is available on the website of the company.

m) Margin:

- The client shall pay applicable initial margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades.
- In case client fails to meet margin obligation fully or partially, SSL may recover penalties as per exchange guidelines.
- The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House)
- The client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for nonpayment of margins or other trade related amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's trade related 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.

Policy for Voluntary freezing/ Unfreezing of the online access of the Clients trading account

Preamble
As per requirements of SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 on Ease of Doing Investments by Investors- Facility of voluntary freezing/ unfreezing of Trading Accounts by Clients, Industry Standards Forum in consultation with the Exchanges issued Framework for Trading Members for providing the facility of voluntary freezing/ blocking the online access of the trading account to their clients on account of suspicious activities in NSE Circular reference no. NSE/INSP/61529 dated April 8, 2024 and BSE Circular 20240408-12 dated April 8, 2024.

Scope:
This policy shall be applicable as and when clients are required to freeze / block online access to their trading account and subsequently desire to unfreeze the same.

StockHolding Services Limited (SSL) provides Internet Based Trading (IBT) System viz. StockNidhi and Mobile Trading App viz. StockFin. As per above mentioned Regulatory circulars, SSL provides the following modes of communications through which the client may request for voluntary freezing/ unfreezing of the online access of the trading account if any suspicious activity is observed in the trading account:

1. SSL Website (StockNidhi hosted on SSL Website)
2. SSL Mobile Application (SSL's Mobile app 'StockFin')
3. Email from registered e-mail ID

Framework for voluntary Freeze of online access of client's Trading Account:

i. Through website or Mobile application

- The client needs to log in to web application StockNidhi or Mobile trading application "StockFin" using valid login credentials. Upon selecting the "Freeze Account" option in the Account Settings, pop-up message will be displayed informing the client that all his/her pending orders will be cancelled on account freeze. Account will be frozen on clicking 'OK' thereby disabling the Online trading access to the client.
- An intimation through SMS will be sent to the client, informing them that all pending orders will be cancelled.
- After the account is frozen, the client will receive a confirmation email containing details of the cancelled pending orders and open positions (if any).

Through email from registered mail id of the Client

SSL has provided dedicated e-mail Id stoptrade@stockholdingservices.com for receipt of Communication for voluntary freezing/ blocking of online access of their account.
The timelines for freezing/ blocking the online access of the client's trading account is as under:

Scenario	Timelines for issuing acknowledgment as well as Freezing/blocking of the online access of the trading account.
Request received during the trading hours and Within 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 Minutes before the start of trading.	Before the start of the next trading session

Note: Trading hours shall be as follows:
Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m., Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m., Commodity Derivatives Segment: 09.00 a.m. to 11:30 p.m.

Framework for Voluntary Unfreeze of online access of client's Trading Account:

- The client can unfreeze their account by clicking on the unfreeze account option available on the login page of StockNidhi or the Stock Fin mobile application. The client needs to enter his account details (UCC, PAN, DOB, DP ID, and Demat Account number). Post successful OTP authentication, the client will regain online access to their trading account. Once the account is reactivated or unfrozen, the client will receive a notification via SMS and email confirming that their account is now unfrozen.

- Alternatively, the Client also has the option to Unfreeze the online access by sending an email to **starttrade@stockholdingservices.com** from registered email address, including trading account details (UCC, PAN, and DOB).

Important points:

1. Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of SSL.
2. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.
3. The SSL maintains all logs of freeze and unfreeze request and communications sent shall be maintained for audit trail
4. SSL will re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.
5. The freeze, unfreeze, issue of communication shall be within the timelines specified by SEBI / Exchanges in this regard.

Policy Review:

The said policy shall be a part of SSL Risk Management Policy and shall be reviewed on a yearly basis.

Policy for Handling Good Till Date Orders

Preamble

Exchanges vide it's circular NSE/INSP/62528 dated June 21, 2024, and 20240622-2 dated June 22, 2024, pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled"/ "Good Till Triggered" orders or orders of similar type. The purpose of this document is to put in place a policy for such orders.

Scope:

The Exchanges have stated that the policy shall include:

- Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

Definitions

- For the purposes of this document, "Dealer" refers to any StockHolding Services Ltd. ("SSL") employee or an employee of an Authorised person of SSL, entering orders on NSE and BSE trading platform. This would include Dealing Desk of SSL.

- "Dealing Desk" refers to the team designated to sit in the dealing room for client order execution.

Details of Good Till Cancelled/Good Till Triggered/orders:

- GTD is an order facility that allows clients to place buy and sell limit orders in cash equities (including ETFs, bonds, and other instruments in the capital market segment). Clients can specify the duration for which their order instruction is valid. Because clients have the flexibility to set the validity date ("order validity date"), this type of order is referred to as a Good Till Date (GTD) order.
- Clients can place their GTD orders using the Mobile Trading App "StockFin" or the "Stock Nidhi" web-based trading portal. Additionally, GTD orders can also be placed directly through the Dealing Desk.
- All existing and new clients of SSL are eligible to utilize the GTD facility for placing orders.
- Client shall ensure that necessary funds/margins are available to place GTD orders in their account.
- In case the GTD order validity date falls on a non-trading day, the order is expired by SSL on the last trading day which falls prior to such order valid date which is a non-trading day.
- All securities in BSE & NSE are eligible for placing GTD order.
- Clients can modify the quantity or price of a GTD order.
- All GTD orders can be cancelled by the Client by calling the Dealing Desk or using Mobile Trading/ Web based trading application.

- The Brokerage rates and applicable charges are same for normal transactions and GTD orders. Further, GTD orders shall be settled in the same manner as normal equity/ derivative market transactions.

Handling and updating Clients of GTD orders in case of Corporate Actions

All upcoming corporate actions including dividend, bonus, split, etc. shall be intimated to clients having unexecuted GTD orders at least one day prior to the ex-date of the corporate action by the Dealing Desk.

Clients shall review their GTD orders pro-actively whenever there may be impact of corporate action on their orders. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

Post Corporate Action, GTD orders will be validated against DPR (Daily Price Range) set by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges

Policy Communication:

The said policy shall be made part of the Account Opening Form/Kit under heading “Policy on Handling of Good Till Cancelled Orders of Client” and shall also be displayed on the SSL website.

Policy Review:

The said policy shall be a part of SSL Risk Management Policy and shall be reviewed on a yearly basis.



Signature of the Applicant

BROKERAGE TARIFF

Cash Segment	Square Off (%)		Square Off (Rs.)		Delivery (%)	Delivery (Rs.)
	Buy	Sell	Buy	Sell		
BSE						
NSE						
MCX						

F&O Segment	Futures		Options
□BSE □ NSE □NSE CDS	Buy (%)	Sell(%)	Rs._____per lot.
Carry Forward			
Intra-day Transactions			

Note: -

1)Brokerage will be charged as per given slab subject to minimum of Rs 25/-per ISIN.

2)All the penny stocks will be charged flat brokerage of Rs 0.05 paisa.

3)Brokerage for liquid funds, ETFs, and Gold Bees will be charged between Rs. 15 and Rs. 25 per executed orders.

4)The client understands and agrees that its account/ledger with Stockholding Services Limited (Trading Member) will be debited with Depository Participant (DP) transaction, AMC and other charges as per tariff agreed/ executed with Stock Holding Corporation of India Limited towards DP services availed. I/We authorise SHSL to debit the account/ledger with said demat charges

Sign here_____



Client's Name:_____

U

FATCA/CRS Declaration for Individual

(Each demat account holder has to submit separate FATCA/CRS Declaration)

Section I

Name of the Client	
Father Name	
Spouse Name	
Occupation Type	Service ☐ Business ☐ ☐
Occupation details (*Short Description*)	
PAN	

Are you a Tax Resident (i.e. Citizen/ Resident/ Green Card holder/ assessed for Tax) in any country other than India?			**Yes** ☐	**No** ☐
Are you US Person	**Yes**	☐	**No**	☐

Section II

(Only applicable when Client selects "Yes" for Tax Residency details other than India)

Correspondence Address		**Permanent address**	
Citizenship		**Date of Birth**	
Country for Tax Resident		**Country for Tax Resident**	
Country of Birth		**Place of Birth**	
TAX Identification Number (TIN) or Equivalent		**TAX Identification Number (TIN) or Equivalent**	
TIN is not available	**(A)** ☐ The Country where the account holder is liable to pay tax does not issue TIN to its residents. **(B)** No TIN required (Select the reason only if the authorities of the respective country of tax residence does not require TIN to be collected) **(C)** Other Reason (*Please specify*) - _____		

I understand that StockHolding is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. StockHolding cannot offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions. I also undertake to keep StockHolding informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I agree that as may be required by domestic regulators/tax authorities StockHolding may also be required to report, reportable details to CBDT or suspend my account. I/we certify that the information provided in this form is true, correct, and complete including the taxpayer identification number of the applicant. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same.

.....

Client Signature

VOLUNTARY



CLIENT REGISTRATION KIT

(Document under this Docket are voluntary and to be executed at the discretion of client)

SSL Control Number	
AP Name	☐ **STOCK HOLDING CORPORATION OF INDIA LTD.**
	☐
AP Branch	
Unique Constituent Code	

INDEX

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
1.	Confirmation of Terms & Conditions	Various terms and conditions governing policies / practices / procedures applicable for services provided.	1-17
2.	Declaration by Karta & Co-Parceners	Confirmation by Karta and co-parceners of HUF in case of affairs of HUF and about all members of HUF also authorizing Karta to deal.	18-19
3.	Running Account Authorisation and Retention Authorisation	• Authorisation to maintain running account of funds / securities instead of settlement-to-settlement for client's operational convenience.	20
4.	Declaration by Partnership Firm	Declaration- cum-authorisation by all the partners of the fir m for settlement of trades through a designated demat account in the name of partners.	21
5.	Format of Board Resolution	Specimen for corporates to authorize directors / officials to open / operate the account.	22
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7.	Declaration for common/ Non-availability of Email Id/Mobile Number	• Declaration for Email ID / Mobile Number.	24
8.	SMS and E-mail alerts Authorisation	• Authorization to receive all trade related confirmation from exchange. • Research/Promotional SMS/Email alerts.	25
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VOLUNTARY

To
STOCKHOLDING SERVICES LTD.,

"CONFIRMATION OF TERMS AND CONDITIONS (HEREINAFTER REFERRED TO AS "CONFIRMATION") GOVERNING SECURITIES TRADING AND BROKING SERVICES OF STOCKHOLDING SERVICES LIMITED".

"I / We_____("the client") hereby state and acknowledge that I / we have read and understood the terms and conditions governing securities trading and broking services of StockHolding Services Limited ("the stock broker"), the same appearing hereunder and I / we shall abide by the same.

1. MANDATORY & VOLUNTARY CLIENT REGISTRATION DOCUMENT TO PROVIDE AND AVAIL OF THE MEMBER'S SERVICE:

On and subject to the terms and conditions of this Confirmation, the relevant stock exchange Provisions, in terms of the Member's Web Site and the terms of the contract to be entered into and/or the contract note, if any,to be issued by the Member to the Client and based on the Account Application, submitted by the Client, the Member may open a Client Account in the name of the Client. This Confirmation shall become effective only upon the Member opening such Client Account. The Client is aware and agrees that the mere execution and / or acceptance of this Confirmation by the Member does not oblige the Member to open a Client Account.

1. The client confirms that he has read and understood and agrees that he shall from time to time regularly continue to read and understand, the relevant stock exchange provisions and the terms and conditions on the Member's Web Site.
2. The Client is aware of and agrees that in course of transacting on the stock exchange the Member will be acting as an agent of the Client, unless agreed by and between them.
3. The Client hereby authorizes the Member to take all such steps on the Client's behalf as may be required or advisable in the Member's opinion for compliance with the stock exchange provisions or any other law or provisions or to complete or settle any transactions entered into through or with the Member or executedby Member on behalf of the Client. However, nothing herein shall oblige the Member to take such steps.
4. Notwithstanding anything stated elsewhere in the Confirmation, the Member may at any time in its sole discretion, prohibit or restrict the Client's access to the use of the Member's Web Site or Services and the Client's ability to trade, by giving the necessary notification in that behalf. The Member reserves the right to vary these Internet Access Terms at any time and will give prior Notice to the Client of such changes.
5. Client shall deposit with the Member, monies, securities which may be required to open and/or maintain the Client Account and/or the Client's Associated Account, as defined subsequently in this Confirmation.
6. Where a transaction is effected or to be effected on the stock exchange, the Member and the Client shall be bound by the stock exchange provisions on which the concerned trade is affected.

2. ASSOCIATED BANK AND DEPOSITORY ACCOUNTS

1. At all times during the subsistence of this Confirmation and thereafter until all obligations of the Client to the Member have been fulfilled, the Client is required to maintain one or more Associated Bank Accounts and one or more Associated Depository Accounts for the purpose of facilitating the trading and settlement of the Client's transactions pursuant to this Confirmation.
2. The Client shall at all times be the sole holder or one of the joint holders of each Associated Account. Provided that where an Associated Account is a joint account, the Member shall have the right to require that the Client should be first holder thereof.
3. Forthwith after the execution of this Confirmation the Client shall deliver to the Designated Bank and to the Member, power of attorney and instructions in the Member's prescribed format executed by the Clientand all the other joint holders (if any) of the Associated Accounts, inter alia, designating such accounts as Associated Accounts for the purposes of this Confirmation, stating full details of the Associated Accounts, confirming and agreeing to the matters stated therein and authorizing the Member and/or the Designated Bank and/or Depository Participant to operate the Associated Accounts and for other purposes as more particularly stated in such power of attorney.
4. In case of the death, disability, dissolution, winding up or liquidation of any donor of any of the power of attorney, the same shall be equally binding on the legal heirs, executors and/or administrations of the Client or all the joint account holders. In case of the Client's demise, disability etc, the Client's heirs, executors or administrators shall forthwith inform the Member and the Designated Bank of the same in writing. The power of attorney and instructions shall continue to subsist and bind (and shall be deemed to

have been given by) the heirs, executors, administrators or legal representative of such donor, and the Designated bank and the Member shall be entitled to continue to act on the basis thereof.

5. If the Member so requires, the Client, the joint holders and their respective heirs, executors, administrators or legal representatives shall be obliged to execute fresh power of attorney and instructions from time to time in the format prescribed by the Member.
6. The Client and/or the joint holders (if any) of any Associated Accounts shall not, close an Associated Account or directly or indirectly operate or give instructions in respect of any Associated Account which would prejudice the Member's rights hereunder or the authority of any power of attorney holder or which would be contrary to the provisions of this Confirmation or any instructions given by the Client and/or the joint holders (if any) or any acts done by the Designated Bank pursuant to a power of attorney.
7. The Client may, change or substitute as Associated Account from time to time. In such event, the Client and the other joint holders, if any, of such new Associated Accounts shall execute fresh power of attorney and instructions in the format prescribed by the Member reflecting therein the change in the Associated Account, and the provisions of this Confirmation relating to the Associated Accounts shall apply also to such new Associated Accounts.
8. Any incidental charges incurred on the Client's behalf shall be borne by the Client.

3. USER NAME AND PASSWORD

1. The Client will be entitled to a user Name, Password, Customer User Identification Number, Telephone Personal Identification Number (T-PIN) or other identification or security code (by whatever name called) which will enable him to access the Member's System or Service through the Member's Web Site, over the telephone or in such other manner as may be permitted by the Member for availing of the Service.
2. The Client is aware that the Member's System randomly generates the Initial Password, and passes on the Password to the Client, and that the Member is not aware of the same. The Client agrees and undertakes to immediately change his Initial Password upon receipt thereof. The Client is aware that subsequent Passwords also are not known or available to the Member.
3. The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the Internet or the telephone including the risk of misuse and unauthorized use of his User name, Password, Client Identification Number and/or T-PIN by a third party and the risk of a person hacking into the Client's account on the Member's System and unauthorisedly routing orders on behalf of the Client through the System. The Client accepts full responsibility for the monitoring and safeguarding of the Client's Accounts and agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password, User name, Customer User Identification Number and/ or T-PIN, and also for any and all acts done by any person through the Member's System on the Client's User name in any manner whatsoever. The Client is aware that the Member has agreed to offer the facility of transmitting orders and instructions over the Internet and telephone at the Client's instructions and the Member is not liable to bear, the Client risk and responsibility and liability of such misuse or unauthorised use. The Client is also aware that he has the option of not availing such facility/service. However, being fully aware of all risks, the Client desires to obtain such facility of transmitting orders and instructions over the internet and telephone and has therefore opted for such facility of his own free choice and is willing and agreeable to bear all associated risks, responsibility and liability.
4. The Client shall be responsible for keeping the User name, Customer User Identification Number, T-PIN and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Member's System using the Client's User name, Password, Customer User Identification Number and/or T-PIN whether or not such person was authorised to do so. The Client shall ensure that he is the only authorised user of the User name, Password, Customer User identification Number and T- PIN. The Member shall be entitled to presume that any order or instructions entered or communicated using the Client's User name, Password, Customer User Identification Number and/or T-PIN is the Client's own order or instruction or that of the Client's duly authorised representative, (i.e. person authorised by client to execute trade on his/her behalf by executing proxy form duly stamped under Maharashtra stamp act).
5. The Client will be fully responsible and liable for, and will pay or reimburse to the Member on demand, all costs, charges, damages and expenses incurred by the Member as a consequence of access and/or use of the Client's Account, Member's System or Service by any third party using the Client's Username, Password, Customer User Identification Number and/or T-PIN.

6. The Client shall immediately inform the Member of any unauthorised use of the Client's Username, Password, Customer User Identification Number and/or T-PIN, with full details of such unauthorised use including the date of such unauthorised use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorised use etc. Notwithstanding the aforesaid, the Client shall be responsible and liable for such unauthorised use of the same.
7. The Client shall log off from the ITORS Service at any time the Client is not accessing or using the ITORS Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall be borne solely by the Client.
8. Without prejudice to the provisions of the aforesaid clause, the Client shall immediately notify the Member in writing with full details if
    1. he discovers or suspects unauthorised access through his User name, Password, Customer User identification Number, T-PIN or account.
    2. he notices discrepancies that might be attributable to unauthorised access.
    3. he forgets his password
    4. he discovers a security flaw in the Member's System or
    5. he does not, on the same day as the receipt or execution of an order by the Member; receive a message from the Member indicating that the order has been received or executed; he does not receive an accurate written confirmation of an execution, or receives inaccurate information in Client's Account balances, Securities positions or transaction history.
9. In any of the above events specified in Clause 3.8, the Client shall immediately change his Password and T- PIN. However, if the Client is unable to change his Password or T-PIN by reason of his having forgotten his Password or T-PIN or his Password or T-PIN having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request the Member in writing to discontinue his old Password or T-PIN ; and thereupon the Member shall cause the Member's System to discontinue the user of the Client's old Password and T-PIN and the Member's System shall generate a new Password andT-PIN for the Client which shall be communicated to the Client. At no point in time shall the Member be liable for any loss, whether notional or actual, that may be suffered by the Client on account of misuse of the Password or T-PIN and the Client shall be liable and responsible for the same.
10. The Client agrees that orders, instructions and other communications given or made over the telephone, may be routed through the Member's Interactive Voice Response or other telephone system and may be recorded by the Member. The Client also agrees that such recording and the Member's records of any orders, instructions and communications given or made by the Client or the Member by electronic mail, fax or other electronic means shall be admissible as evidence.
11. The Client agrees to provide information relating to Customer User Identification Number, T-PIN and such other information as may be required while placing the orders on the telephone to determine the identity of the Client.
12. The use and storage of any information including, without limitation, the Password, portfolio information, transaction activity, account balances and any other information or orders on the Client's personal computer is at the Client's own risk and is the Client's sole responsibility.
13. Tape recording of the Client conversation: - The Client is aware that the Member tape - records the conversations between the Client or the Client's representative and the Member, either personally or over the telephone, and the Client hereby specifically permits the Member to do so. Such electronic recordings may be relied upon by the Member as and when required to resolve disputes in connection with the trading transactions.

4. ORDER ROUTING AND EXECUTION

1. The Client shall transmit his orders to the Member only in the following manner: (i) through the internet over the Member's Website (ii) over the telephone or (iii) in such other approved manner (if any) as the Member may permit.
2. As a precondition for execution of a purchase, subscription or other order which involves payment of the Client's funds, the Member may in its sole discretion:
    1. Require the Client to maintain, at the time of placement of order by the Client, an Available Funds Balance in the Client's accounts with the Member and/or in the Associated Bank Account(s) for the

full value of the order plus any brokerage, service tax, transaction charges, applicable taxes and such markup as the Member may determine from time to time ; and /or

2. Require the Client to instruct the Designated Bank to block the whole or a portion of the balance in one or more Associated Accounts in order to secure the payment of the purchase price of Securities purchased or to be purchased by the Client or other amount payable by the Client on execution of the order, the other amounts mentioned in (i) above and/or the payment or performance of any otherthan current or possible future dues or other obligations with respect to their trade of the Client; and/or
3. Require the amount of margin prescribed by the Member to be available in the Client's margin account, if any, with the Member.

3. As a precondition for execution of a sale or redemption order or other order involving the delivery of any Securities or instrument by the Client, the Member may in its sole discretion.
    1. Require the Client, at the time of order placement by the Client to maintain an Available Stock Balance in the Associated Depository Account(s) and / or in the Member's Client beneficiary depository account or place the relevant Securities or instrument in the Member's custody and control in such manner as the Member may prescribe, and also maintain funds required for margin,if any, determined by the Member in the Client's account with the Member and / or in the Associated Bank Account(s); and/or
    2. Require the Client to instruct the Designated Bank/Depository to block the whole or a portion of the cash and/ or Securities balance in one or more Associated Accounts in order to secure the delivery of any Securities sold, redeemed or proposed to be sold or redeemed by the Client, the payment of margin and/or the payment or performance of any other than current or possible future dues or other trade obligations of the Client and /or
    3. Require the amount of cash margin prescribed by the Member to be available in the Client's margin account, if any, with the Member.
4. Without prejudice to the above, as a precondition for execution of an order for writing an Option Contract or selling an Option Contract so as to create an Open Position, and/or entering into a Futures Contract and/or entering into any contract for lending any sum of money or any Securities on behalf of the Client, the Member may in its sole discretion:
    1. Require the Client to maintain, at the time of order placement by Client, an Available Funds Balance and/or an Available Stock Balance in the Associated Depository Account (s) and/or in the member client depository account and/or in the Client's account with the Member and/or in the Associated Bank Account (s) of such amount as the Member may specify, plus any Brokerage, service tax, transaction charges, associated costs and such markups as the Member may determine; and/or
    2. Require the Client to instruct the Designated Bank/Depository to block the whole or portion of the balance of cash or Securities in one or more Associated Accounts in order to secure the payment of margin and/ or the amount payable or Securities deliverable in the event of exercise of the Option Contract and/or performance of the lending contract as the case may be, the other amountsmentioned in (i) above and/or the payment or performance of any other than the current or possible future dues or other obligations of the Client in respect to their trades and/or
    3. Require the amount of margin prescribed by the Member to be available in the Client's margin account, if any, with the Member;
5. The Member shall be entitled to offset the purchase price of a purchase order/transaction against the proceeds of a sale transaction executed by the Client through the Member, and vice versa.
6. On the day of placement of any order and/or any day thereafter the Member, in its discretion, shall be entitled to instruct the Designated Bank to, and pursuit to the aforesaid instructions of the Member, as mentioned above, the Designated Bank shall be entitled to, inter alia, block, debit and/or transfer the wholeor a portion of the balance in the payment of the purchase price of Securities purchased or to be purchasedby the Client, the delivery of any Securities sold or proposed to be sold by the Client, the payment of any amount or delivery of any Securities in the event of an Option Contract and/or the performance of a FuturesContract, which have been entered into on behalf of the Client, the payment of any, amount or delivery of any Securities for the purpose of any lending or investment or for any purpose in connection with the Member's Services and/or the payment or performance of margin and any other than current or possible future trade related dues or other obligations of the Client. In addition, the Member

shall be entitled to at any time give such instructions to the Designated Bank / Depository as the Member may think fit and proper for securing the Member's rights and interests or for the payment or delivery of any amount or Securities which are then or may thereafter become payable or deliverable by the Client to the Member, and the Client agrees that the Designated Bank shall give effect to such instructions, and the Client shall not do or omit to do anything which may prevent the Designated Bank from acting on the Member's instructions.

4.7 The Client agrees that

1. Instructions given by the Member to the Designated Bank / depository to block funds or Securities in or debit or transfer from an Associated Account in connection with a transaction entered into or to be entered into by the Client with or though the Member will be given first priority over any other instructions or cheques given or issued by the Client or any joint holder by itself or through any other attorney.
2. Funds or securities once blocked on the instructions of the Client or Member in connection with a transaction entered into or to be entered into by the Client with or through the Member can be released only with the express written consent of the Member to the Designated Bank; and
3. If the Client or the Member has given any blocking, holding, debit or other instructions in respect of any Securities or money in any Associated Account in connection with a transaction entered into or to be entered into by the Client with or through the Member and the Designated Bank receives transfer, debit or other instructions in respect of such Securities or money from the Client or any other person, the Designated Bank shall give effect to the instructions first received in point of time and shall act accordingly.
4. Unless the Member otherwise determines, all orders for purchase, sale or other dealings in Securities and other instructions routed through the Member's System via the Client's User name shall be deemed to have been given by the Client.

8. When placing an order, the Client shall indicate the Exchange on which he desires that the order should be executed.
9. The Client understands that placing an order with the Member, including a market order, does not guarantee execution of the order.
10. The Member shall not be deemed to have received an order unless and until it has actually received the order in the order-receiving module of the Member's System. The Client shall not be entitled to presume that any order transmitted by the Client has been received by the Member until the Member has confirmed receiptof such order. However, due to technical or other factors, an order which has been received by the Member may not be immediately confirmed to the Client. Such delay in confirmation shall not entitle the Client to presume that the order has not been received by the Member and the principle mentioned in the first sentence of this clause shall apply.
11. The Client shall be allowed to trade only during Trading Hours. However, the Member may agree to receive orders even outside Trading Hours. The Member may accumulate orders received outside Trading Hours and execute such orders when the concerned Exchange next opens for trading on the next working day.
12. All orders received by the Member through the System may be executed in good faith and shall be valid until separately cancelled in accordance with the provisions of this Confirmation.
13. The Client agrees to ensure that all orders and instructions which the Member receives from the Client are absolutely clear and unambiguous;
14. The Client understands and agrees that with respect to a market order or any other order, the Client will receive the price at which the Client's order is actually executed by the Exchange's computer system; and such price may be different from the price at which the Security is trading when the Client's order is entered into the System or received by the Member.
15. The Member may from time to time in its discretion impose and vary limits on the orders and trades which the Client can place and enter into through the Member's System (including exposure limits, turnover limits, limits as to the number, value and/or kind of Securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The Member may choose not to intimate the Client of the limits and any variation thereof. The Client is aware and agrees that the Member may need to urgently vary the limits or impose new limits or prohibit or restrict the Client's ability to place

orders or trade in Securities through the Member on the basis of the Member's risk perception and other factors considered relevant by the Member, and the Member may not inform the Client of the factors considered relevant by the Member, and the Member may not inform the Client of the factors considered relevant by the Member, and the Member may not inform the Client of the same. The Client agrees that the Member shall not be responsible or liable for the Client's inability to place any order or enter into any transaction on account of any such variation, imposition, restriction or prohibition.

16. The Member shall have the right to refuse to accept the whole or a part of any orders or instructions from the Client and/or refuse to execute the whole or a part of any accepted orders or instructions without providing any reasons thereof. In particular, the Member may refuse to accept or execute the whole or a part of any order or instruction (i) based on the Member's risk perception; or (ii) if necessary regulatory approval has not been obtained by the Client.
17. The Client shall be responsible for obtaining and complying with all applicable legal and regulatory approvals in respect of the Client's orders, instructions and transactions at the Client's cost, and the Member shall not be liable or responsible for any failure or default in respect thereof.
18. Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the Client on the Member's System, the Member shall not be liable for any delay in the execution of any order for any reason beyond its control or any resultant loss on account of the delay.
19. The Client agrees that the Member may, at its sole discretion, subject any order placed by a Client to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.
20. The Member may in its discretion at any time allow or disallow margin trading (as approved by Respective exchanges) by the Client. For this purpose, without prejudice to the provision of Clause 8 below, the Member shall be entitled from time to time to require the Client to deposit such amounts and Securities as margin as the Member may, in its sole discretion determine. The Client shall ensure that the Outstanding Positions of the Client do not exceed the limits specified by the Member and are squared off within such period as specified by the Member. The Member shall also be entitled to, at any time, without any notice tothe Client and without assigning any reason, square off any Outstanding Position of the Client arising outof such margin trading, in the manner provided in Clause 5.8 below. In particular, and without prejudice to the above, in the event the Outstanding Positions of the Clients are not squared off by the Client within the period specified by the Member then, without prejudice to the other rights of the Member (including the right to square off any Outstanding Position(s) of the Client), the Client shall deliver such funds and Securitiesto the Member as the Member may require to enable the Member to secure and/or fulfill the Outstanding Positions of the Client or the potential exposure therefrom.
21. The Client agrees that the Client alone shall be responsible and liable for all transactions executed by the Member under or pursuant to the terms of this Confirmation.
22. Without prejudice to the other provisions of this Confirmation, and subject to the Exchange provisions and applicable law so permitting, all or any Securities purchased by the Member on behalf of the Client may be held in the name of the Member and/or the Client or in any Associated Account or in such other manner as may be determined by the Member.
23. Without prejudice to the provisions with regard to the power of attorney contained in this Confirmation, the Member may in its sole discretion act on the instructions issued by an authorised representative, if any, of the Client and the said instructions issued by the authorized representative of the Client shall be binding on the Client in accordance with the letter authorising the said representative to deal on behalf of the said Client.
24. The order received from the Client would be transmitted to the concerned Exchange instantaneously within a few seconds. But some orders at the discretion of the Member may be subject to manual review and clearance which may cause delay in processing the order or rejection of the order. The Member shall provide its services on a best effort basis. However, the Member shall not be liable for failure of the systemor for any loss, damage or other costs arising in way beyond their control.
    (a) Telecom network system failures including failure of ancillary or associated systems, or fluctuation of power or other environmental conditions, or
    (b) Any fault in any attachment or associated equipment which forms or does not form part of trading workstation installation, or

(c) Act of God, fire, flood, war, act of violence, or any other similar occurrence or any other factor or circumstance beyond the control of the Member.

(d) Any incidental, special or consequential damages including without limitation of loss or profit.

5. TRANSACTIONS AND SETTLEMENTS

1. The Client's orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions (wherever applicable). The Client shall be responsible for paying and delivering to the Member the required funds or Good Delivery Securities within such time as the Member may specify for fulfillment of the Client's payment and delivery obligations. If the Client fails to deliver to the Member any Securities that
    1. Have been sold by or for the Client; and
    2. Are required to be delivered by or for the Client pursuant to the obligations under the terms of any other contract or arrangement; when required by the Member, then the Member, shall be entitled (but not bound to), in its own discretion and at the risk and cost of the Client obtain the Securities necessary to enable the Member to make good the delivery of such security.
2. The Client agrees that unless the Member otherwise permits all orders for the purchase and / or sale of Securities shall result in delivery of Securities for a sale trade or payments for purchase transactions. Provided that in respect of orders relating to Option and/or Future Contracts, Payment or delivery of Securities shall be in accordance with the terms of the concerned Option/Future Contract(s).
3. The Client agrees that the Member shall not be obliged to deliver any Securities, or pay any money to the Client unless and until the same has been received by the Member from the Exchange, the Clearing Corporation/ House or the concerned mutual fund or other company or entity liable to make payment. Unless the Member otherwise determines, and subject to the Member's rights of set off and other rights, the Securities to be delivered by the Member to the Client pursuant to the Client's purchase transactions shall be delivered by the Member to an Associated Depository Account and sale proceeds to be paid by the Member to the Client shall be credited to an Associated Bank Account.
4. The Member may effect a short delivery to the Client, inter alia, 'where (i) the counter-party, being the seller(s) in the respective transactions, deliver(s) short to the Exchange; and (ii) the Exchange is not able to buy- in the Securities falling short on behalf of the defaulting party and thereof closes out the transaction as per the Exchange provisions.
5. The Member shall have right to allocate Securities and money among the Client and other Clients of the Member in a manner and form that the Member deems fit where (i) the Member has a net purchase obligation in respect of the Client and other Clients, but receives a short delivery and (ii) (where applicable) theExchange is only able to partly receive in auction and partly close out the Securities falling short on behalf of the defaulting party.
6. The Client shall not, acting alone or in concert with others, directly or indirectly, hold and/or control futures contracts in excess of the permitted number as fixed from time to time by the Exchange(s).
7. The Client shall not exercise long or short position where, acting alone or in concert with others, directly or indirectly the Client will have exercised futures contract in excess of the permitted number as may be fixed from time to time by the Exchange(s).
8. The Member may, (but shall not be bound to) in its discretion and at Clients risks and cost, at any time square off any outstanding positions of the Client in such a manner as the Member thinks fit and without any prior notice to or approval of the Client. The Client shall bear and pay the losses arising from such squaring-off. In particular, and without prejudice to the generality of the above:
    1. If the Client has entered into Short Sale or a Long Purchase, then the Member shall be entitled to at any time before the Client has squared-off his Short Sale or Long Purchase positions. Square-off and/or carry forward the whole or part of the Short Sale or Long purchase position on any day, at any place and in any manner as the Member thinks fit, or permit the Exchange to close out or auction such position; and the aforesaid shall be at the Client's sole risks and cost.
    2. In the event of death or insolvency of the Client or his otherwise becoming incapable of receiving, paying for, delivering and transferring the Securities bought or sold by the Member, the Member may close out whole or part of the whole or any of the Clients Outstanding positions and the Client or his Legal representative shall be liable for any losses and costs of such squaring-off and shall be likewise entitled to any surplus which may result there from.

3. Without prejudice to member's other rights (including the right to refer the matter to arbitration), the Member shall be entitled to liquidate/close out all or any of the Clients position for nonpayment of margins or any other trade related amounts; outstanding debts etc., any and all losses and financial charges on account of such liquidation/closing out shall be charged and borne by the Client in relation to their trades.

4. The Client hereby authorises the Member to, at the Member's discretion, should the Member deem it necessary for the Members own protection, to buy, sell or close out any part or all of the Derivative Contracts held in Clients account with the Member. Any or all such incidental expenses incurred by the Member in that behalf will be reimbursed by the Client to the Member.

9. All Securities and money in the Associated Accounts with the Member or with the Designated Bank to the Clients account (whether solely or jointly with another or others) shall be subject to a lien for the discharge of any and all the current or future indebtedness or any other obligation (including contingent indebtedness or obligation) that the Client may have to or through the Member; and the same may be held by Member as security of discharge thereof.

10. In enforcing its set off, lien and/or other rights, the Member may, in its sole discretion, determine which securities are to be sold or appropriated, which account is to be debited or which contracts are to be closed.

11. Provisions in case of Default of Derivative segment of the Exchange/s. In event of default of the Member on his own account on the Derivative segment of the Exchange/s the Clients money will not be utilized to meet the Members liabilities. In such cases the Clients positions shall be either transferred to another solvent Member or closed-out as per relevant Exchange provisions relating to the Exchange/s. The loss, if any caused to the Client because of such action would be recoverable by the Client from the Member.In the event of failure of the Client to fulfill his obligation to the Member the Derivative segment of the Exchange/s or the Clearing House of the Exchange/s, the Clients position may be closed out and the money, if any of the Client available with the Member or with any other Member, the Derivative segment of the Exchange/s or the Clearing House of the Exchange/s may be adjusted against the Clients liabilities/ obligations. The provision of this clause shall be mutatis mutandis apply to other Exchanges if the Exchangeprovisions of such Exchanges so require.

12. Provisions in case of Spot Delivery Contracts: In the event of the Member and the Client entering into any spot delivery contracts, the provisions of this Confirmation to the extent they can be applied, shall apply to such spot delivery contracts. However, such provisions of this Confirmation as would by the nature be inapplicable to spot delivery contracts or as can apply to spot delivery contracts only with appropriate modifications, shall not apply to such spot delivery contracts or such apply to such spot delivery contracts with such appropriate modifications, as the case may be. The Member's decisions as to provisions of this Confirmation which would not apply to spot delivery contracts or which would apply to spot delivery contracts only with appropriate modifications (and in such case, the Member's decisions as to nature of the modification) shall be final and binding on the Client.

13. The Member agrees to inform the Client to keep him apprised about trading/settlement cycles, Delivery/ Payment schedules any change therein from time to time, and it shall be the responsibility in turn of the Client to comply with such schedules/procedures of relevant Stock exchange.

14. The Member shall continue to be responsible for replacing bad deliveries to the Client in accordance with applicable "Good and Bad delivery norms" even after termination of this Confirmation and shall be entitled to recover any losses incurred by him in such connections from the Client.

15. The Member and Client agree to reconcile their accounts at the end of each quarter with reference to all settlements where pay outs have been declared during the quarter.

16. Securities purchased by the Clients will be delivered to them only if all the money, on any account, due from the Client till the date of delivery is realised in full. Part delivery of securities based on part payment may not be allowed. The instruction for delivery to Client account will be issued within the time schedule specified by the concerned Exchange, prevalent at the time. If the delivery could not be made on the due date, due to nonpayment of dues from the Client, then the delivery will be made within the time prescribed by Regulatory Authorities after realisation of payment But, nonpayment of dues on due date may result in sale of such purchased securities at the cost and penalty of the Client. In case such trade dues are unpaid on the payout date, same will be taken/transferred into the designated beneficiary account of the Member to avoid pool penalty charges. The resultant transaction charges for transferring will be levied accordingly.

5.17 If a Client has purchased some securities in an earlier settlement and has not taken delivery of the same or remained securities have not been delivered to him/her, and if he/she sells the same in the current settlement then the shares purchased in earlier settlements, and on receipt of the same may be used to meet pay-in obligation for current settlement. The Client is aware that execution of a purchase order does not guarantee delivery of shares which may fail in case of short delivery from the concerned Exchange or the selling party. In all such cases, clients are required to take a clear confirmation from the Member about the delivery status of earlier purchase before proceeding with the sale of securities. The Member will not be responsible for any losses if a short delivery takes place due to such short receipt in the earlier settlement.

6. MARGIN

1. The Client agrees and undertakes to immediately deposit with the Member such cash, securities or other acceptable security which the Member may in its own discretion from time to time require as margin. The Client agrees that the Member shall be entitled to require the Client to deposit with the Member a higher margin than that prescribed by the Exchange. The Member shall also be entitled to require the Client to keep permanently subject to compliance of actual settlement of funds and securities with the Member a margin of a value specified by the Member so long as Client desires to avail of the Member's Services.
2. The Client is liable to pay an initial margin up-front on or before creating a position in any Derivative Contract. Such margin shall be decided upon by the Member or the Exchange from time to time. Furthermore, the Client is liable to pay (or receive) daily margins depending on whether the price of the Derivative Contract moves for or against positions undertaken. The Client may also be liable to pay withholding margins, special margins or such other margins as are considered necessary by the Member or the Exchange from time to time. The Member is permitted in its sole or absolute discretion to collect additional margins (even if not imposed by the Exchange(s), the Future and Option of the BSE, the Future and Option Segment of the NSE or any other segment of any of the Exchange(s), The Clearing House(s)or Clearing Corporation(s) or SEBI) and the Client shall be obliged to pay such Margins.
3. In case the Client does not provide the required margin or any other payment whatsoever within the time frame specified by the Member, the Member shall have right to appropriate and/or sell and/or instruct the Designated bank / Depository to sell/or transfer all or any Securities or money in the Clients Account and/ or any Associated Account and/or the proceeds thereof, Square-off all or any Outstanding positions, prevent any new orders from being placed and/or executed by the Client, take such other actions as the Member thinks fit and proper. The Member may exercise all or any of the above rights in such business can be transacted, at a public auction by private sales and the Member may be the purchaser/Seller therein.The giving of any prior Demand, call or notice shall not be considered as a waiver of the Members right to exercise its rights without any such demand, call or notice.
4. In respect of contracts entered into by the Client, the Client may, from time to time, be entitled to receive amounts or Securities representing mark to market profits, and shall be liable to pay amounts or Securities representing mark to market losses. The Client shall forthwith on demand by the Member pay to the Member the amounts and Securities representing mark to market losses. However subject to the same being permissible under the Exchange provisions, the Member may instead of paying to the Client any amount's or Securities representing mark to market profits, retain, withhold, setoff and/or appropriate the same for such purposes and in such manner as the Member may deem fit.

7 CANCELLATION/MODIFICATION REQUESTS

1. The cancellation or modification of an order pursuant to the Clients request in that behalf is not guaranteed. The order will be cancelled or modified only if the Clients request for cancellation or modification is received and the order is successfully cancelled or modified before it is executed. Market orders are subject to immediate execution wherever possible.
2. The Client shall not be entitled to presume an order has been executed, cancelled or modified until the confirmation from the Member is received by the Client. However, due to technical or other factors the confirmation may not be immediately transmitted to or received by the Client, and such delay shall not entitle the Client to presume that the order has not been executed, cancelled or modified unless and until the Member has confirmed in writing.
3. The Exchange may annul a trade suo-moto without giving a reason therefore. In event of such annulment, the Member shall be entitled to cancel the relative contract(s) with the Client.
4. Notwithstanding anything contained above, any orders not executed at the end of Trading Hours may be

cancelled by the Member unless the Member offers the facility of carrying forward unexecuted orders.

8 BROKERAGE COMMISSION OR FEES

1. The Client agrees to pay the Member Brokerage, commission, fees, service tax and other taxes and transaction expenses as they exist from time to time and as they apply to Clients Account and transactions, and to the Services that Member renders to the Client. The Client also agrees that Member may deduct and appropriate any of the aforesaid amounts from the amounts payable by the Member to the Client or may instruct the Designated Bank to transfer such amount to the Member from the Associated Account.
2. The Client agrees that Member may from time to time in its sole discretion but subject to Exchange provisions, any restrictions imposed by SEBI determine and modify the amount of brokerage, commissions, fees and any other amounts payable by the Clients. A schedule of current brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by the Member on Member's website, and any change in the rates other than statutory levies should be mutually agreed upon and the Client agrees to keep himself updated in respect thereof;

9 CONFIRMATIONS

1. The Client hereby agrees and permits the Member to provide digitally signed contract notes through internet. The Client agrees that the Member fulfils its legal obligation to deliver to the Client any such document if sent via electronic delivery. Non receipt of bounced mail notification by the member shall amount to delivery of the contract note at the e-mail ID of the client.
2. Confirmations will be available to Client upon execution or cancellation of an order placed by him through the Member's Website. This shall be followed by a confirmation, which may be sent by a postal mail, electronic mail, or any other electronic means after executions of the order/trade and this shall be deemed to be a valid dispatch thereof by the Member. It is responsibility of the Client to review immediately after first receipt whether delivered to him on-line or dispatch by or postal mail by electronic mail or other electronic means, all confirmations of orders transactions or cancellations.
3. The Client shall bring any errors in reports confirmations or contract notes of executed trades (including execution prices, scrips or quantities) to the Member's notice in writing, via electronic mail or fax preferable within 24 hours or (T+l) whichever is earlier, of receipt of concerned report, confirmation or contract note. Any other discrepancy in a confirmation or account be notified by the Client to the Member in writing via electronic mail or fax preferable within 24 hr from time of receipt of the first notice. In the event of Client proving such discrepancies to the Member's satisfaction, the Member shall rectify such discrepancy and shall according give effect to the Client's account. However, in the event of Member not being not being satisfied about the such discrepancy the Member shall be entitled to ignore or disregard the same.
4. There may be delay in the Member receiving the reports of transactions status from the respective Exchanges or other persons in respect of or in connection with which the Member has entered into contracts or transactions on behalf of the Client. Accordingly, the Member may forward to the Client late reports in respect of such transactions that were previously unreported to him or incorrectly reported to him as being expired, cancelled or executed. The Client shall not hold the Member responsible for any losses suffered by the Client on account of any late reports/ statements or any errors in reports/Statements computed byor received from any Exchange.

10 INVESTMENT ADVICE

1. The Member does not intend to give and the Client acknowledges that the Member shall not be liable to provide to the Client, any tax, legal or investment advice of any kind, or any advice or opinion with respect to the nature, potential value or suitability of any particular securities, transaction, investment and investment strategy. The Client understands and agrees that in the event the Client receives or accesses any investment research reports or any investment or other recommendations or advice from the Member (or any employee or official of the Member) or on the Member's Web Site, the same is on a no-liability, no-guarantee and no- obligation basis and any decision, action or omission thereon shall be entirely at the Client's risk and should be based solely on the Client's own verification of all the relevant facts, financial and other circumstances, a proper evaluation thereof and the Client's investment objectives and the Member shall not be responsible or liable for the same for any reason whatsoever.
2. The Client also acknowledges that the Member's employees are not authorized to give any advice and that the Client will not solicit or rely upon such advice from the Member or any of its employees. The Client agrees that in the event of the Member or any employee or official of the Member providing any

information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Member shall not be liable or responsible for the same.

10.3 The Client agrees and undertakes to assume full responsibility for all the investment decisions and transactions. The Member, its officers, directors, partners, employees, agents and affiliates (which includes its Member's group companies / their employees) will have no liability with respect to any investment decisions, transactions or losses of the client.

11 REPRESENTATIONS AND WARRANTIES OF THE CLIENT

1. The Client represents and warrants to the Member that all the information provided and statements made in the Client's Account Application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and the Client is aware that the Member has agreed to provide the Member's Service to the Client on the basis, inter alia, of the statements made in the Client's Account Application. The Client is aware and acknowledges that trading over the internet, telephone and through computers involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and the Member's Service may at any time be unavailable without further notice. The Member and the Exchanges do not make any representation or warranty that the Member's Service will be available to the Client at all times without any interruption. The Client agrees that he shall not have any claim against the Exchangesor the Member on account of any suspension, interruption, non-availability or malfunctioning of the Member's System or Service or the Exchanges' service or systems for any reason beyond their control.
2. The Client has the required legal capacity to, and is authorised to, enter into this Confirmation and is capable of performing his obligations and undertakings hereunder.
3. All actions required to be taken to ensure compliance of all the transactions which the Client may enter into pursuant to this Confirmation with all applicable laws shall be completed by the Client prior to such transaction being entered into.
4. The Client shall abide by the Exchange Provisions and the terms of the Member's Web Site in force from time to time.
5. Any instructions given by an authorised representative of the Client to the Member (or to the Member's representative) shall be binding on the Client.

12 REPRESENTATIONS AND WARRANTIES OF THE MEMBER

The Member represents and warrants to the Client that, wherever such approval is required, the Member's System has been approved by the Exchange.

13 OTHER DATA

1. The Client understands that the Exchange and any other supplier of data asserts a proprietary interest in all of the market and other data it furnishes, directly, through the Member or otherwise. The Client understands that the Exchange, such supplier and the Member do not guarantee the timeliness, sequence,accuracy or completeness of the data or any other information, or any messages disseminated by it. Neitherthe Member nor the Exchange nor such supplier shall be liable in any way for incorrect, misleading, incompleteor outdated data or information and, if the Client acts on the basis of the same, he shall do so at his own risk and cost.
2. The Client shall not furnish market information provided by the Exchange or the Member to any other person or entity for consideration or otherwise and in the event the Client parts with such information he shall do so at his own risk and cost.
3. The Client is authorised to use, at the Client's risk, materials which are made available by the Member's Services for the Client's own needs only, and the Client is not authorised to resell or permit access to any such materials or to make copies of any such materials for sale or supply to or use by others. The Client will not delete copyright or other intellectual property rights notices from any such materials.
4. Information about default in payment/delivery and related aspects by a Client may be brought to the notice of the relevant stock exchange(s) by the Member. 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, may also be communicated to the relevant stock exchange(s).

14 REIMBURSEMENTS

1. The Member does not warrant that the Service will be uninterrupted or error free. The Member's Services are provided without warranties of any kind, either express or implied, including, without limitation to, those of uninterrupted availability, merchantability or fitness for a particular purpose.
2. The Client agrees that under no circumstances, shall the Member or anyone involved in creating, producing, delivering or managing the Member's Services or System be liable for any direct, indirect, incidental, special or consequential damages including, but not limited to lost profits, trading losses, loss of opportunity or damages that result from interruption, delay or loss of the use of the Service or out of any breach of any warranty.
3. The Client agrees to reimburse to the Member any and all claims, liability, costs, expenses (including but not limited to lawyer's fees and penalties or costs imposed by any Exchange) and proceedings arising from or in relation to the Client's breach of any provision of this Confirmation or any third party's right arising out of the Services rendered by the Member pursuant to this Confirmation or any other wrongful act on the part of the Client.
4. Certain Securities may grant the holder thereof valuable rights that may expire unless the holder takes action. The Client shall be responsible for knowing the rights and terms of all Securities in his accounts and the Member shall not be obligated to notify the Client of any upcoming expiration or redemption dates, or take any other action on the Clients behalf, except as required by law and applicable Exchange Provisions. The Client shall also be responsible for knowing about reorganizations related to Securities which the Client holds including, but not limited to, stock splits. If, due to a reorganization or bookkeeping or data entry error, the Client sells more Security than he actually owns or different Securities from what he actually owns, then the Member shall not be responsible for any losses that the Client may incur by reason thereof.
5. The Client agrees that the Member and/or its agents shall not be liable or responsible for any loss or liability caused or incurred directly or indirectly due to any act or omission of the Client or any lost opportunity, actual or perceive, caused directly or indirectly by government restriction, Exchange or market rulings or regulation, suspension of trading, war, earthquakes, flood, accident, strikes, power failure, communication line failure, system or telephone failure, security failure on the Internet, equipment or software malfunction, hacking, unauthorised access, theft, strikes or any problem, technological or otherwise, that might prevent theClient from entering, or the Member from executing an order, or any other conditions beyond the Member'scontrol.
6. The Member shall not be liable for any error or delay in, or omission from, any data, information, or message on the Member's Web Site' or delay, interrupted or improper transmission or delivery of any data, information, or message; or any loss or damage arising from or occasioned by the above.
7. Apart from, and over and above, the services which the Member has agreed to provide to the Client under the above mentioned provisions of this Confirmation, namely stock broking services, the Member may, at the Client's request, provide, such other services, as may be required by the Client from the Member, on such terms and conditions as may be mutually agreeable between the parties, so long as such additional services to be provided by the Member to the Client, are not in contravention of rules, regulations, bye laws, of either Stock Exchanges or SEBI.

15 NOTICES

1. Any notice or other communication to be given by any party to the other in connection with this Confirmation shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by an e-mail to the addresses at the address or (as the case may be), thee- mail or facsimile number (if any), of that party set opposite its name below:

   To the Member at: _____

   Address : SHCIL House, P-51, T. T. C. Industrial Area, MIDC, Mahape, Navi Mumbai - 400 710.

   Fax : 022-61778609 / 8648

   E-Mail : grievances@Stockholdingservices.com

   To the Client at: _____

   or at such other address, facsimile number or e-mail address as the party to be served may have notified the other in accordance with the provisions of this Clause.

15.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters by the Member to the Client may be communicated telephonically.

16 AMENDMENT & SUSPENSION

1. The Client understands and agrees that the Member may suspend or discontinue his Service in part or in its entirely and change the terms of the Service (including the terms on the Member's Web Site) or this Confirmation at any time and from time to time, after giving an adequate written notice to the Client and such decision of the Member shall be binding on the Client, once its mutually agreed upon by both parties.
2. Without prejudice to the generality of the aforesaid, the Member may suspend or terminate the services without prior notice to the Client when the Client has breached any terms or conditions or if the Member learns of the death, disability, bankruptcy or lack of legal capacity of the Client, or where in the perception of the Member, the continuation of the Service could increase the risks to the Member.
3. The Member may at any time amend this Confirmation by modifying or rescinding any of its existing provisions or conditions or by adding any new provisions or conditions, by conspicuously posting notice of such amendment on the Member's Web Site and by providing written notice thereof to the Client. Notice by e-mail would deemed to be in writing. The Client agrees and undertakes to regularly and promptly (and in particular immediately prior to and at the time of placing any order) keep himself updated of all postings on the Member's Web Site and also of all other amendments notified by the Member to the Client from time to time.

17 ASSIGNMENT

The Client shall not assign any right and obligations hereunder without first obtaining the Member's prior written consent.

18 TERMINATION OF CONFIRMATION

1. This Confirmation may be terminated at any time by mutual consent of the Parties.
2. The Client agrees that the Member may at any time terminate this Confirmation by giving not less than thirty days' notice to the Client. Provided that in exceptional circumstances the Member may at any time terminate this Confirmation without advance notice to the Client. The Client is aware and accepts that in view of the nature of the transactions and dealings involved in providing the Service it may not be possible for the Member to give advance notice of such termination or suspension to the Client.
3. The Client may at any time terminate the Confirmation by giving not less than thirty days' notice to the Member, provided that unless the Member otherwise permits, the Client shall not be entitled to terminate this Confirmation so long as any amount is payable or Securities are deliverable by the Client to the Member.
4. The termination of this Confirmation shall not affect any rights or obligations of either party which have accrued prior to the termination or which may arise out of or in connection with transactions entered into or acts done or omitted prior to the termination. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this Confirmation shall continue to subsist and vest in /be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors as the case may be.
5. The provisions of Clauses 10, 18 and 20 of this Confirmation shall survive the termination of this Confirmation.
6. The Confirmation shall forthwith terminate; if the Member for any reason ceases to be a Member of the stock exchange including cessation of membership by reason of the Member's default, death, resignation or expulsion or if the certificate issued by the SEBI is being cancelled.

19 SEVERABILITY

In the event of any provisions of this Confirmation being held to be or becoming invalid, unenforceable or illegal for any reason, such invalidity, enforceability or illegality shall attach only to such provision or condition, and this Confirmation shall remain otherwise in full force apart from the said provision which will be deemed deleted. The validity of the remaining provisions and conditions shall not be affected thereby and this Confirmation shall be carried out as if any such invalid or unenforceable provision or condition was not contained herein. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision as far as possible.

20 WAIVER

1. No forbearance, relaxation or inaction by any party at any time to require the performance of any provision

of this Confirmation shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of this Confirmation or be considered to be a waiver of any right, unless specifically agreed in writing. Except as specifically permitted in this Confirmation, no provision of this Confirmation can be, nor be deemed to be, waived, altered, modified or amended unless agreed to in writing and signed by an authorised officer of the Member. No waiver of any single breach or default under this Confirmation shall be deemed a waiver of any other breach or default.

2. Notwithstanding anything stated elsewhere in this Confirmation but subject to the proviso hereinafter appearing, the Member shall have the right to, in its sole discretion, waive in whole or in part all or any of the provisions of this Confirmation which require the Client to maintain Associated Account(s) and or any other provision(s) of this Confirmation. In case of such waiver: -

    1. The provisions of this Confirmation relating to Associated Accounts and the operation thereof (and/ or any other waived provisions) shall be constructed accordingly.
    2. In the absence of any Associated Bank Account, all payments by or to the Client shall be effected through and/or by a cheque/demand draft of a bank acceptable to the Member (which may be a bank other than the Designated Bank) or in such other manner as the Member may specify; and
    3. In the absence of any Associated Depository Account, all deliveries of Securities by or to the Client shall be effected through any depository account acceptable to the Member or in such approved manner as the Member may specify.

20 LAW AND JURISDICTION

1. This Confirmation shall be governed by and constructed in all respects in accordance with the laws of the republic of India.
2. In the event of any dispute by and between the parties hereto with regard to any matter stated herein or under this Confirmation, or relating thereto or on account of this Confirmation, then, unless the contrary provision is made in that behalf in the Rules, Regulations and Byelaws of the Stock Exchange or the SEBI (in which event the provisions made in the Rules, Regulations and Byelaws of the Stock Exchange and/ or the SEBI will prevail), the same shall be referred to arbitration of a sole arbitrator, to be appointed by the Member, in accordance with the provisions of the Arbitration & Conciliation Act, 1996 or any statutory modification or reenactment thereof. The arbitration award shall be in English language.
3. The stamp duty and registration charges, if any, payable on these presents and the duplicate shall be borne and paid by the Client.

22 APPLICABILITY OF EXCHANGE PROVISIONS

This Confirmation and all contracts and transactions between the Member and the Client pursuant hereto shall be subjected to the applicable Exchange provisions, the Rules, Bye-Laws and Regulations of various segments of the concerned Exchange, Clearing House and Clearing Corporation if any, the provisions of the Securities and Exchange Board of India Act 1992, the Securities Contract Regulation Act of 1956 and the Rules and Regulations made thereunder and may be as amended from time to time, in addition to the specific rights set out in this Confirmation, the Member and the Client shall be entitled to exercise any other rights the Member or the Client may have under the relevant notification of Government authorities under the exchange provisions or as may be prescribed by SEBI.

23 DISPUTE RESOLUTION

1. Any claim, dispute or difference arising between the parties hereto in respect of this Confirmation or any contracts, dealing or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Confirmation or the interpretation or construction of this Confirmation, shall be referred to the grievance redressal procedure of the concerned stock exchange.
2. The Client and the Member agree to refer any claims and/ or disputes governed by the Rules, Bye-laws and Regulations of the Derivatives segment of Stock Exchange, to arbitration as per the Rules, Bye-laws and Regulations of the Derivatives segment of Stock Exchange as amended from time to time.
3. The Member agrees that it shall cooperate in redressing grievance of the Client in respect of transactions routed through it and in removing objections for bad delivery, etc in respect of shares, rectification of bad delivery etc. in respect of shares and securities delivered/to be delivered or received/to be received by the Client.
4. The Member hereby agrees that he shall ensure faster settlement of any arbitration proceedings that may have been initiated between the Member and the Client and the Member shall implement the arbitration awards made in such proceedings.

23.5 The Member and the Client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.

24 TRANSACTIONSOTHER THAN EXCHANGE TRANSACTIONS

1. The parties acknowledge that the Member's services involve execution of orders and transactions (i) on or through an exchange (Exchange Transactions') and also (ii) otherwise than on or through an Exchange e.g. Transactions in unlisted units of mutual funds, government securities, commercial paper, certificates of deposit, negotiable instruments and investment in company or bank deposits. ('Off- Exchange Transactions'). The parties acknowledge and agree that in case of such off exchange transactions the exchange provisions would not apply. Without prejudice to the generality of the aforesaid, the parties agree that in case of Off-exchange transactions: -
    1. The orders and transactions shall not be governed by the exchange provisions but by the Member's terms and conditions (including the terms and conditions on the Member's website) applicable to such transactions and the terms and conditions of the concerned issuer of the securities, company or any other entity or person and
    2. The provisions of this Confirmation would by their very nature, apply only to exchange transactions and not to off-exchange transactions.
    3. The Member may receive brokerage, commission or other amounts from the issuer, company or entity (in addition to receiving brokerage from the Client) and
    4. In the event of any dispute arising between the parties hereto in respect of transactions and orders not governed by the stock exchange, the provisions of clause 21.2 of this Confirmation will apply.
    5. This Confirmation (relating to orders and transactions not governed by the stock exchange) shall be governed by and constructed in all respects in accordance with the laws of the republic of India. The courts at Mumbai, India shall have exclusive jurisdiction to decide any dispute that may arise between the parties hereto under, relating thereto or in that behalf.

25 INTEREST/ PENALTY/ LATE PAYMENT CHARGES

The Client agrees that the Member may charge penalty @ 18% p.a. on delayed payment i.e. from the date of pay-in, till the date of realization of cheque. The Member may also impose late payment charges or delayed processing charges for delay in making payments to the Members.

26 ADDITIONAL CLAUSES

The Client shall be responsible for all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that the Member is likely to incur or incurred by the Member, directly or indirectly, owing to short or no delivery of shares/securities by or through the Client during the course of its dealings/ operations on the Exchange or in respect of orders and transaction not routed through the Stock Exchange.

27 GENERAL

a) Commission and other charges

Before client begins to trade, he should obtain a clear explanation of all commission, fees and other charges for which he will be liable. These charges will affect his net profit/loss (if any) arising out of shares& securities transactions.

b) Deposited cash and property (any securities or collateral offered by him/her)

The client should familiarise himself with the protections accorded to the money or other property he deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which he may recover his money or property maybe governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as his own will be prorated in the same manner as cash for purposes of distribution in the event of a short fall. In case of any dispute with the Member, the same shalb e subject to arbitration as per the bye laws/ regulations of the Exchange.

c) The authorised person will provide assistance to the Member and Client to reconcile their accounts at the end of each quarter with reference to all the settlements where pay outs have been declared during the quarter.

d) The Member shall issue, individually for each Client of his authorised person, contract notes in the format prescribed by the stock exchange. The authorised person shall render necessary assistance to his Client in obtaining the contract note from the Member.

e) The Client agrees to abide by the exposure limits, if any, set by the Member or by the Exchange or Clearing Corporation or SEBI from time to time.

ANNEXURE 2A

1. In this Confirmation, unless repugnant to the context thereof:

"Account Application" means the application submitted by the client to the member to open a client account and to permit the client to avail of the member's services.

"Associated Accounts" means the associated bank accounts and the associated depository accounts.

"Associated Bank Account" means the current or savings bank account

"Associated Depository Account" means the depository accounts (either solely or jointly with another or others) with the designated Depository Participant and which account has been designated as the Associated Depository Account for the purpose of this Confirmation.

"Available Funds balance" means the amount of credit balance in the associated bank account or in the client' account with the member which is not subject to any lien or other encumbrance (except in favour of the member pursuant to this Confirmation) and which is freely available to the member for blocking and appropriation towards the client's then current or possible future obligations to deliver the concerned securities to the member, to an exchange, to a clearing corporation/ house or to any other person or entity in connection with an order executed by the Member for the client.

"Brokerage" means the amount charged by the member to the client as a brokerage for a secondary market transaction or for any other services. The term "Brokerage" does not include service tax or other taxes, transactions or other fees and commissions that may be applicable in respect of the services.

"BSE" means Bombay Stock Exchange Ltd.

"Business Day" means any day on which the concerned exchange is/are operational for trading.

"Client Account" means an account opened by the member in the name of the client in the member's records pursuant to this Confirmation.

"Designated Bank" means AXIS Bank Limited or such other banks and / or entity(ies) as the member may specify from time to time.

"Exchange" means BSE, NSE and such other stock exchange(s), if any, of which the Member becomes a member, and over which the Member agrees to offer services to the client; and "Exchanges" shall be construed accordingly. **"Exchange Provisions"** means the Rules, Byelaws, Regulations, Guidelines, Constitutions, Customs, business requirement specification, handbooks, notices, circulars and resolutions of the concerned exchange (or any segment of the concerned exchange) and/or Clearing House/Corporation of the concerned Exchange, as amended from time to time.

"Good Delivery": in relation to securities, shall mean the timely delivery of freely transferable securities which are considered as good delivery securities by the concerned exchanges, SEBI and the concerned Clearing Corporation / House.

"Internet &Wireless Technology based trading facility " means internet based trading/mobile trading through order routing system, being a system approved by the concerned exchange for enabling clients to route their orders to their Member-brokers over the internet.

"Internet & Wireless Technology based trading facility" means the service offered by the Member to its clients through Internet & Wireless Technology based trading facility where clients route their orders for purchase, sale to their Member-brokers through the member's website.

"Member Services" or "Services" means the services which the member renders as a member of an exchange and includes (but is not limited to) the ITORS service: and Such other services which the member as a member of an exchange, may offer or be permitted to offer to the client under or pursuant to this Confirmation which may include, by way of illustration:

a. Purchase and sale of government securities, units of Unit Trust of India and or/other mutual funds, (whether listed or unlisted), negotiable instruments, unlisted securities, certificates of deposit, participation certificates, commercial paper, money market instruments, investment in bank and for company deposits and other securities.

b. Clearing facilities.

c. Advisory Services.

d. Portfolio management services.

e. Custodial Services.

"Member's Website" means the member's website at www.StockHoldingservices.com as may be hosted by the member for access through the internet, through which the member offers the services.

"Outstanding Position" in a scrip means the value of the total quantity of that scrip purchased by the client and not settled.

"Password" means the alphanumeric code used by the client to validate his user name and access to the Internet & Wireless Technology based trading facility.

"SEBI" means the Securities & Exchange Board of India.

"Securities" shall have the same meaning as assigned under section 2 of the Securities Contracts (Regulation) Act 1956 and shall include any securities, derivatives and other instruments which are tradable on any of the exchanges as well as such units of Unit Trust of India and or/other mutual funds, (whether listed or unlisted), negotiable instruments, unlisted securities, certificates of deposit, participation certificates, commercial paper, money market instruments, investment in bank and for company deposits and other investments as may be specified by the member from time to time.

"Segment" means any segment of an exchange and includes the cash segment, debt segment and derivatives segment of an exchange.

"Short Sale" shall include a sale order or transaction given or entered into by the client without sufficient available stock balance.

"Squaring Off" a position means executing a transaction so that the outstanding position in a scrip is offset in full or in part. Square-off and squared-off shall be construed accordingly.

"System" means the system hosted by the member on the internet through which the Internet & Wireless Technology based trading facility service is offered, the member's system for accepting orders over the telephone and also includes any other system offered by the member for accepting orders from a client and performing any part of the service.

"Trading hours" means such period of business day during which the concerned exchange offers trading facilities to its members.

"Transactions" refers to the orders placed by the Client through the Member's Services for the purchase or sale of securities or other dealing in Securities, whether or not executed in an Exchange.

"User name", "Customer ID", "Client Id', "Customer User Identification Number" (b y whatever name called) means the alphabetic, numeric, alphanumeric login identification used by the Client for accessing his account for availing the Services.

2. In this Confirmation, headings are used for convenience and ease of reference only and shall not affect the construction or interpretation of any provision of this Confirmation.
3. Words and expressions which are used in this Confirmation, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the relevant Exchange provisions.
4. Annexure and Schedules to this Confirmation shall form an integral part of this Confirmation.
5. In this Confirmation, unless repugnant to the context or meaning thereof
   i. reference to the singular includes reference to the plural and vice-versa,
   ii. reference to any gender includes a reference to all other genders.
   iii. references to Recitals, Clauses, Schedules and Annexure shall be deemed to be a reference to the recitals, clauses schedules and annexure of or to this Confirmation.
   iv. reference to a person shall include its personal representative and
   v. references to any enactment are to be construed as referring also to any amendment or reenactment thereof and to any rule, byelaw, regulation, business requirement, specification, order or other provision made under it. I/We accept, understand and confirm the aforesaid terms and conditions.

I/We have read and understood all the terms & conditions as mentioned on page nos. 1 to 17 in this document.



Sign here

Client / Authorised Signatory

Name of the Client / Authorised Signatory

Note: All references to the specific quantity/rate/fee mentioned in this confirmation are subject to change from time to time, as so agreed to in writing between the parties.

VOLUNTARY

DECLARATION BY KARTA& ALL CO-PARCENERS IN CASE OF HUF ACCOUNT

To,
Stockholding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date: _____

Dear Sir/Madam,

1. WHEREAS the Hindu Undivided Family (HUF) of _____ is carrying on business in the firm name and style of _____ of_____at_____or we intent to deal, have or desire to have share trading account with STOCKHOLDING Services Ltd. (Hereinafter referred as 'Member'). We, undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Shri _____ is the present Karta of the said joint family.

2. We confirm that affairs of the HUF firm are carried on mainly by the said Karta on behalf and in the interest and for the benefit of all the co parceners. We hereby authorize the said Karta on behalf of the HUF to deal on Capital Market Segment (CM), Futures and Options (F & 0), or any other segment that may be introduced by Stock Exchange in future and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the HUF.

   The said Karta is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through StockHolding Services Ltd., on behalf of the HUF. He is also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of th e said HUF firm to the Member and agree and confirm that any claim due to the Member from the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every coparcener of the said joint family, including the share of the minor co-parceners, if any.

3. We undertake to advise the Member in writing of any change that may occur in the Karta or in the constitution of the said joint family or of said HUF firm and until receipt of such notice by the Member which shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member for all dues obligations with respect to our trades of the said HUF firm in the Member's book on the date of the receipt of such notice by the Member and until all such trade related dues and obligations shall have been liquidated and discharged.

4. We recognise that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no. _____with Depository Participant _____ opened in the name of the said Karta of this HUF.

5. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind the said HUF firm.

VOLUNTARY

6. We have understood Member's rules and regulations for the conduct of the share trading accounts and we agree tocomply with and be bound by the said rules now in force or any changes that may be made therein from time to time.



(Signature of Karta)
Affix Rubber Stamp of HUF

(Name of Karta)



(Signature of Co-parcener)

Name



(Signature of Co-parcener)

Name



(Signature of Co-parcener)

Name

Name & Date of birth of minor co-parcener

VOLUNTARY

RUNNING ACCOUNT AUTHORISATION

To,
StockHolding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date: _____

Dear Sir/Madam,

I/We, in order to facilitate operations, authorize StockHolding Services Ltd. (SSL), to maintain a Running Account instead of a Settlement to Settlement clearance of Funds to me/us.

I/We request you to kindly settle the funds due to me/us at least once in a calendar month / quarter (please strike off which is not applicable).

I/We understand that -

1. This authorisation shall be signed by me/us only and not by my/our Constituted Power of Attorney.
2. I/We can revoke, in writing, this authorization as and when I/we desire to do so.
3. In case if I/we have any outstanding obligations on the settlement date, SSL may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
4. In case if, I/we have any dispute arising from the statement of account or settlement so made, I/we shall bring it to the notice of SSL within 7 working days from the date of receipt of Funds or Statement, as the case may be.
5. SSL may settle the funds across segments of the same exchange.
6. There shall be no inter-client adjustments for the purpose of monthly/quarterly settlement of Running Account.



Sign here _____

Client's Name: _____

OTHER CONSENT

As a subscriber to the services offered by StockHolding Services Ltd. I hereby instruct StockHolding Services Ltd to provide the following communications through the medium of short messages services and / or telephone calls and / or Whatsapp messages on my registered phone number(s): (a) Research and investment ideas whether developed in-house and / or by outsourced agencies;
(b) Market related alerts; (c) Offers or subscription to new products / services from time to time; (d) Account and trading relat ed information and other notifications pursuant to the services provided under the captioned agreement; (e) Information relating to investment products and services; (f) Any other service to aide in wealth creation process.

(Do not sign if you not wish to receive commercial calls and / or messages)



Sign here _____

Client's Name: _____

VOLUNTARY

DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

To,

StockHolding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date: _____

Dear Sir/Madam,

We refer to the trading account opened with you in the name of _____ (Name of Firm) and declare and authorise you as under.

We recognise that a beneficiary account cannot be opened with a depository participant in the name of Partnership firm as per Regulations. To facilitate operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognise.

the beneficiary account No._____with Depository Participants _____opened as a joint account in the names of the partners of the firm.

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

We hereby authorize Mr. _____ partner in the firm to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through StockHolding Services Ltd., on behalf of the Firm. The said Partner is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds etc. as may be deemed necessary to open account and give effect to this purpose, on behalf of the Firm.

Yours faithfully,

Name of Partners (in block letters)	* Signatures of Partners

* (Signatures with Rubber Stamp of Partnership Firm)

VOLUNTARY

BOARD RESOLUTION (ON LETTERHEAD OF COMPANY)

Certified true copy of the resolution passed at the meeting of Board of Directors of _____ having its registered office at _____ held on _____ day of 20_____ at _____ AM/PM

RESOLVED THAT the company be registered as CLIENT with STOCKHOLDING Services Ltd. Member of Bombay Stock Exchange Ltd. (BSE) and/or National Stock Exchange of India Ltd. (NSE) for the purpose of dealing in equities, Futures & Options, debentures, debt products and the said Member be and is hereby authorised to honour instructions oral or written, given on behalf of the Company by any of the under noted signatories:

Sr. No.	Name	Designation
1)	Mr.	
2)	Mr.	

who is / are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal through the said Member, onbehalf of the Company.

RESOLVEDFURTHER THATMr./Ms._____, and/ or Mr./Ms._____Director/s of the Company be and is hereby authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary of expedient to give effect to this resolution.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution cancelling or amending the same is passed by the Board of Directors of the Company and is furnished to STOCKHOLDING Services Ltd.

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by anyone of the Directors/Secretary of the Company be furnished to STOCKHOLDING Services Ltd.

For_____Ltd. (Affix Rubber Stamp)

Director/Company Secretary

Note:

1) This resolution should be signed by a Company Secretary/Director other than the one who is authorized.
2) In case where all the Directors are authorized, this resolution should be signed by a Company Secretary, if any, or by all the Directors.

VOLUNTARY

MANDATE LETTER FOR RECEIVING CONTRACT NOTES/OTHER REPORTS IN DIGITAL FORMAT

To,
StockHolding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date: _____

Dear Sir/Madam,

I/We hereby agree and consent to accept the contract notes, (Electronic Contract Note), Bills, Statements of Funds, Securities and other reports in digital form, for transactions carried on by me/us with you. The below email id is created by me/us. The mandate is subject to terms and conditions specified herein and shall be binding on me/us.

Email ID: _____

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

1. Digital Contract notes in format as may be prescribed by the Exchange from time to time will be mailed to my/ our above Email address.

2. I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of such receipt of contract notes. My/our non-verification or not accessing the contract note on regular basis shall not be a reason for disputing the contract note at any time.

3. I/We undertake that non-receipt of bounced mail notification by SSL shall tantamount to delivery of the contract note at my email id.

4. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which w ill be binding on me/us.

5. It will be my/our responsibility to regularly check themailbox and keep adequate storage space for new emailmessages.

6. Any change in the above email id shall be communicated by me/us through a physical letter duly signed by me/ us.

7. Any changes in the terms and conditions shall be intimated by SSL to me/us.

Yours faithfully,



Sign here _____

Client's Name: _____

VOLUNTARY

Emailid /Mobile number - Updation /Declaration Form

Date | PAN

UCC

Client Name

CONFIRMATION / UPDATION OF EMAIL ADDRESS IN AFORESAID UCC

Email Address

Email address specified above belongs to self or family (Please tick any one option from below).

Please note only the relationship options listed below will be accepted. Any other relationships—**such as siblings, grandparents, in-laws (e.g., daughter-in-law, brother-in-law), or others not explicitly mentioned—will not be considered.**

Also, note that the accepted relationships as per regulators are **Self -1, Spouse -1, Dependent Children -3, Dependent Parents - 2** for the common email ID.

- ❑ Self
- ❑ Spouse
- ❑ Dependent Children (**Client contact relationship would be updated as DEPENDENT PARENT)**
- ❑ Dependent Parents **(Client contact relationship would be updated as DEPENDENT CHILD)**
- ❑ AOP/CP **(NON- Individual)**

CONFIRMATION/ UPDATION OF MOBILENUMBER IN AFORESAID UCC

Mobile Number

Mobile number specified above belongs to self or family (Please tick any one option from below).

Please note only the relationship options listed below will be accepted. Any other relationships—**such as siblings, grandparents, in-laws (e.g., daughter-in-law, brother-in-law), or others not explicitly mentioned—will not be considered.**

Also, note that the accepted relationships as per regulators are **Self -1, Spouse -1, Dependent Children -3, Dependent Parents - 2** for the common mobile number.

- ❑ Self
- ❑ Spouse
- ❑ Dependent Children (**Client contact relationship would be updated as DEPENDENT PARENT)**
- ❑ Dependent Parents **(Client contact relationship would be updated as DEPENDENT CHILD)**
- ❑ AOP/CP **(NON- Individual)**

VOLUNTARY

SMS AND EMAIL ALERTS BY STOCK EXCHANGES TO INVESTORS

I/We are aware that the Stock Exchanges have decided to send details of the transactions to the investors, by the end of trading day, through SMS and Email.

I/We wish to avail the aforesaid facility of receiving transaction details through SMS or Email alerts or both from the Stock Exchanges where I/we may trade.

I/We wish to receive SMS / EMAIL / BOTH (Strike off whichever is not required) from the exchanges. Details of mobile number and email id is as above.

MANDATE FOR RESEARCH/PROMOTIONAL SMS/EMAIL

I/We wish to receive research recommendations/ promotional offers via SMS / Email on my/our registered mobile number/ Email ID as mentioned above.

CLIENT SIGNATURE & DECLARATION

I/ We authorize Stockholding Services LTD to update this Service Request in the UCC, where I am the holder of the mentioned PAN and also the First Holder. This request may kindly be treated as the necessary authorization in this regard.

☞

Sign here _____

Client's Name: _____

VOLUNTARY

BSE StARMF

To,
StockHolding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date: _____

Dear Sir/Madam,

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

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

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

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

Yours faithfully,

Signature of all DEMAT holders.

Sr. No	Name	PAN									Signature
1											
2											
3											

VOLUNTARY

MOBILE TRADING

To,
StockHolding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date: _____

Dear Sir/Madam,

Sub.: Securities trading using wireless techonology - Mobile

I/We am/are interested in carrying securities trading through use of wireless technology - Mobile which shall include devices such as Mobile Phone/Tablet using Internet Protocol (IP) as per trading preference chosen by me.

I/We understand that the terms and conditions applicable to Internet based trading will also be applicable to securities trading through use of wireless Technology-Mobile. I/We am/are made aware by you regarding all the possible risks, responsibilities and liabilities associated with securities trading using wireless technology.

I/We understand that you shall provide information with respect to the addresses of Internet web site/web page where detailed information would be available about securities trading done through the use of wireless technology - Mobile.

I/We understand that you shall send the Order/Trade confirmation detail on my/our registered E-mail id on execution of order/ trade on the BOLT/ODIN/NEAT system, as the case may be.

I/We agree that the information send by you on our E-mail id would be deemed to be a valid delivery of such information by you. The aforesaid information regarding order and trade confirmation shall also be provided to me/us on the device used for securities trading through the use of wireless technology - Mobile.

I/We am/are aware that authentication technologies and strict security measures and required for the securities trading using wireless technology through order routed system and undertake to ensure that my/our password is not revealed to any third party.

I/We therefore request you to enable me/us for carrying securities trading through use of wireless technology - Mobile.

Yours faithfully,



Sign here _____

Client's Name: _____

VOLUNTARY

STANDING INSTRUCTIONS

To,
StockHolding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date:_____

Dear Sir/Madam,

I/We hereby willfully and unconditionally issue following standing instructions:

1. I/We am/are agreeable that the credit balance of funds and shares be treated as margin for both cash and derivatives segment.

2. I/We hereby authorize you to adjust the debit/credit balances in my/our margin /settlement account of one exchange/ segment with the credit/debit balances in the margin/settlement account of another exchange/ segment. Such adjustment ofcredit balance in any margin/settlement account of any exchange/segment with debit balance in any exchange/segment will tantamount to due discharge of payout of funds to me/us.

3. I/We am/are agreeable for and authorize you to withhold funds and/or securities payout towards all the debits and/or margin requirements.

4. I/We may place orders verbally, telephonically and /or in writing.

5. I/We shall not indulge in any authorised person activities nor issue bills/contracts/ confirmation notes to anyone else for trades done in our client code.

6. All fines/penalties and charges levied upon by SEBI/Stock Exchange/any other Financial Sector Regulatory/ any other competent authority due to my/our acts/deeds or transactions may be recovered by you from my/our accounts.

7. I/We agree that you may charge penalty@ 18% p.a. on delayed payment i.e. from the date of pay-in till the date of realization of cheque, I/we agree that you may also impose late payment charges or delayed processing charges for delay in making payments to you.

8. These standing instructions are valid from the date of registration and will be valid until revoked in writing.

Yours faithfully,

Sign here _____

Client's Name:_____

VOLUNTARY

MANDATE TO RECOVER DEMAT ACCOUNT CHARGES

To,
StockHolding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date:

Dear Sir/Madam,

Subject: Authorisation to debit trading account for the demat account charges

NSDL DP/CL ID:	I	N													
CDSL BO ID:															

I/we have a demat account as mentioned above with Stock Holding Corporation of India Limited (StockHolding) and a trading account with SSL.

I/we hereby authorise SSL to debit from my/our aforementioned trading account, all the Depository Participant charges payable towards the demat account including annual maintenance charges, transaction charges, applicable statutory levies etc., on the basis of instructions received from StockHolding.

Any such sum debited from my/our trading account by SSL, on the basis of instructions received from StockHolding, towards payment of Depository Participant Charges for my/our demat account shall be binding on me/us.

First/Sole Holder's Signature	Second Joint Holder's Signature	Third Joint Holder's Signature
☞		

Yours faithfully,

Client's Name: _____

Verification of Signatures by StockHolding Employee: Employee Code :

Employee Name :

Employee Sign. :

Date :

_____ Branch Stamp/Seal:

Client Declaration for Research Services

To,
StockHolding Services Limited,
Plot No. P-51, T.T.C. Industrial Area,
MIDC Mahape, Navi Mumbai – 400 710.

Client Full Name: _____

Unique Client Id UCC: _____

Declaration by Client	Declaration by RA
I / We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure. I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report. I/We understand that – i. Any investment made based on the recommendations in the research report are subject to market risk. ii. Recommendations in the research report do not provide any assurance of returns. iii. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Please read Disclosure of minimum mandatory terms and conditions to clients including rights and obligations mentioned below. *	i. We are registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014 and the registration details are: (registration number - INH000001121, registration date - Jul 21, 2015); ii. We have the registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting; iii. Research analyst services provided by us do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which we are a party or to which any of our property is or may be subject; iv. The maximum fee that may be charged by RA is ₹1.51 lakhs per annum* per family of client. *At present Stockholding Services Ltd. Does not charge any fees for Research services provided. v. The recommendations provided by RA do not provide any assurance of returns. Please read Disclosure of minimum mandatory terms and conditions to clients including rights and obligations mentioned below.

Disclosure of minimum mandatory terms and conditions to clients

1. Availing the research services: By accepting delivery of the research service, the client confirms that he/she has elected to subscribe the research service of the RA at his/her sole discretion. RA confirms that research services shall be rendered in accordance with the applicable provisions of the RA Regulations.
2. Obligations on RA: RA and client shall be bound by SEBI Act and all the applicable rules and regulations of SEBI, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.
3. Client Information and KYC: The client shall furnish all such details in full as may be required by the RA in its standard form with supporting details, if required, as may be made mandatory by RAASB/SEBI from time to time. RA shall collect, store, upload and check KYC records of the clients with KYC Registration Agency (KRA) as specified by SEBI from time to time.
4. Standard Terms of Service: The consent of client shall be taken on the following understanding:
   "I / We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure. I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report. I/We understand that –
   i. Any investment made based on the recommendations in the research report are subject to market risk.
   ii. Recommendations in the research report do not provide any assurance of returns.
   iii. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research

report."

Declaration of the RA that:

i. It is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014 and its registration details are: (registration number, registration date);

ii. It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;

iii. Research analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;

iv. The maximum fee that may be charged by RA is ₹1.51 lakhs per annum per family of client.

v. The recommendations provided by RA do not provide any assurance of returns.

Additionally, if RA is an individual, declaration that:

i. It is not engaged in any additional professional or business activities, on a wholetime basis or in an executive capacity, which interfere with/influence or have the potential to interfere with/influence the independence of research report and/or recommendations contained therein.

5. *Consideration and mode of payment: The client shall duly pay to RA, the agreed fees for the services that RA renders to the client and statutory charges, as applicable. Such fees and statutory charges shall be payable through the specified manner and mode(s)/ mechanism(s).
   *At present Stockholding Services Ltd. Does not charge any fees for Research services provided.
6. Risk factors: (A statement covering the standard risks associated with investment in securities to be added under this clause by the RA)- *Please read the full Research Disclaimer:
   https://stockholdingservices.com/downloads/rdisclaimer2024.pdf
7. Conflict of interest: The RA shall adhere to the applicable regulations/ circulars/ directions specified by SEBI from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. (A statement covering the mandatory disclosures to be added under this clause by the RA.)
8. Termination of service and refund of fees: Disclosure that the RA may suspend or terminate rendering of research services to client on account of suspension/ cancellation of registration of RA by SEBI and shall refund the residual Amount to the client. In case of suspension of certificate of registration of the RA for more than 60 (sixty) days or cancellation of the RA registration, RA shall refund the fees, on a pro rata basis for the period from the effective date of cancellation/ suspension to end of the subscription period.
9. Grievance redressal and dispute resolution: Any grievance related to (i) non- receipt of research report or (ii) missing pages or inability to download the entire report, or (iii) any other deficiency in the research services provided by RA, shall be escalated promptly by the client to the person/employee designated by RA, in this behalf (RA to provide name and e-mail ID of the designated person/employee). The RA shall be responsible to resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations. RA shall redress grievances of the client in a timely and transparent manner. Any dispute between the RA and his client may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time. *Grievance Redressal Mechanism: https://stockholdingservices.com/downloads/grievance-redressal-mechanism.pdf
10. Additional clauses: All additional voluntary clauses added by the RA should not be in contravention with rules/ regulations/ circulars of SEBI. Any changes in such voluntary clauses/document(s) shall be preceded by a notice of 15 days.
11. Mandatory notice: Clients shall be requested to go through Do's and Don'ts while dealing with RA as specified in SEBI master circular no. SEBI/HO/MIRSD-POD- 1/P/CIR/2024/49 dated May 21, 2024 or as may be specified by SEBI from time to time.
12. Most Important Terms and Conditions (MITC): RA shall also disclose MITC to their clients which shall be standardized by Industry Standards Forum (ISF) in consultation with SEBI and RAASB. RAs/research entity shall also include the following disclosure as part of the terms and conditions in their MITC: "The terms and conditions and the consent thereon are for the research services provided by the RA and RA cannot execute/ carry out any trade (purchase/ sell transaction) on behalf of the client. Thus, you are advised not to permit RA to execute any trade on your behalf."

Please read the Most Important Terms and Conditions (MITC)* given below:

*Most Important Terms and Conditions (MITC)
[Forming part of the Terms and Conditions for providing research services]

A. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.

B. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note: B.1. The current fee limit is Rs 1,51,000/- per annum* per family of client for all research services of the RA.

B.2. The fee limit does not include statutory charges.

B.3. The fee limits do not apply to a non-individual client / accredited investor.

*At present Stockholding Services Ltd. Does not charge any fees for Research services provided.

C. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.

D. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).

E. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.

F. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.

G. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.

H. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not

provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.

I. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the 7 performance of the RA or assure any returns to the client.

J. For any grievances,

Step 1: the client should first contact the RA using the details on its website or following contact details: (RA to provide details as per 'Grievance Redressal / Escalation Matrix') *Grievance Redressal Mechanism: https://stockholdingservices.com/downloads/grievance-redressal-mechanism.pdf

Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in

Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at https://smartodr.in

K. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.

L. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.

13. *Optional Centralised Fee Collection Mechanism: RA Shall provide the guidance to their clients on an optional 'Centralised Fee Collection Mechanism for IA and RA' (CeFCoM) available to them for payment of fees to RA.

*At present Stockholding Services Ltd. Does not charge any fees for Research services provided.



Signature of the Applicant

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POLICY ON TREATMENT OF CLIENT UNPAID SHARES

Client shares are called unpaid when on the date of settlement, the client does not have sufficient funds available with StockHolding Services Ltd (SSL) for settlement purposes. This policy provides for the rules laid out for treatment of client unpaid shares:

- While giving payout, the unpaid shares are pledged to a separate account called Client Unpaid Securities Pledge Account (CUSPA)
- Shares upto 150% of the shortage or Negative ledger shall be pledged to the CUSPA.
- Necessary pledge charges shall apply
- Necessary notifications shall be sent to the defaulting client
- Securities pledged in the CUSPA shall be held maximum upto T+1+5. Such unpaid shares may be confiscated anytime within such a maximum time limit
- The securities pledged shall be marked to market. If the value of shares so pledged falls below the net recoverable value, before the permitted timeline, such shares shall be confiscated and sold immediately.
- On confiscation the securities shall be sold by SSL at the prevailing market price
- Number of shares to be sold shall be decided on the basis of the prevailing market price and the net value to be recovered. (Net value to be recovered shall cover ledger shortfall, pledgee charges, confiscation charges, stamp duty or any other charges that may be applicable)
- SSL shall not be liable to pay the client any losses on account of confiscation of such unpaid shares
- No margin or exposure shall be granted to clients against such CUSPA pledged securities

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SIMPLIFICATION OF ACCOUNT OPENING KIT

To,
StockHolding Services Ltd.
SHCIL House,
P - 51, T. T. C. Industrial Area, MIDC,
Mahape, Navi Mumbai -400 710.

Date: _____

Dear Sir/Madam,

I/We wish receive following documents on my/our registered Email ID.

- Right & Obligations of stock broker, authorised person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)
- Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories;
- Uniform Risk Disclosure Documents (for all segment/exchanges); and
- Guidance Note Detailing Do's and Don'ts for trading on stock exchanges.
- Most important Terms and conditions (MITC)



Sign here _____

Client's Name: _____

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DEMAT DEBIT AND PLEDGEINSTRUCTION(DDPI)

To,
StockHolding Corporation of India Limited.

STOCKHOLDING House, P-51, T.T.C. Industrial Area
MIDC, Navi Mumbai
400710

Dear Sir,

I/We the Joint Account Holders, do herewith nominate and appoint **StockHolding Services Limited** acting through any of its officers, employees or any agents to be my/our true and lawful agent and attorney for me/us and on my /our behalf and in my name from time to time to do and exercise or cause to be done and exercise following acts through **Demat Debit and Pledge Instruction(DDPI).**

UCC :_____-Client Name : _____

Demat Accounts: _____

Sr. No.	**Instruction**	**Signature of all the holder** (the DDPI can be signed either in a physical manner or through e-sign)
1.	Transfer of securities held in my/our beneficial owner accounts towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchange through the StockHolding Services Limited (Stock-Broker)	1._____ 2._____ 3.
2.	Pledging / re-pledging of securities in favour of StockHolding Services Limited, i.e., Trading Member (TM) / clearing member (CM) for the purpose of meeting margin requirements pertaining to me/us in connection with the trades executed by me/us on the Stock Exchanges.	1._____ 2._____ 3.
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1._____ 2._____ 3.
4	Tendering shares in open offers through Stock Exchange platforms	1._____ 2._____ 3._____

I/We the Joint Account Holders do herewith confirm that I/we are aware that are DDPI is optional and I/we can opt to complete the settlement by issuing the Physical Delivery Instruction Slip (DIS) or electronic Delivery Instruction Slip (e-DIS) ourselves. The Stock Broker/ Depository Participant had not compelled us to execute the POA/ DDPI mandate. I/We can revoke, in writing, this authorization as and when I/we desire to do so.

_____ _____ _____
1st Holder 2nd Holder 3rd Holder

Description of Demat Account/Margin /Pool Accounts

BSE		**NSE**	
CM BP ID	IN631110	CM BP ID	IN516512
DP ID	IN301330	DP ID	IN301330
Client ID	19638688	Client ID	20714786
CDSL Principala/c	1601010000338272	-	-
Client Securities CDSL Margin Pledge Account	1601010000468473	Client Securities NSDL Margin Pledge Account	IN301330-40367030
Client Securities CDSL Margin Funding Account	1601010000468532	Client Securities NSDL Margin Funding Account	IN301330-40369183

Signatures of Account Holders

☞ ---------- ☞ ---------- ☞ ----------

1st Holder 2nd Holder 3rd Holder

Accepted

For StockHolding Services Ltd.

Authorised Signatory ☞ **Date:**
Place:

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For Office use only	
Unique Client Code:	Date of Authentication:
(To be entered by the official Authenticating/Activating UCC)	
Verified by :	Authenticated by:
Signature :	Signature :
Name:	Name:

Acknowledgement

I/We acknowledge receiving the documents for opening a trading account with StockHolding Services Limited vide Form No._____ from Mr./Mrs._____ along with the following cheque.

Towards funding a new StockHolding Services Account opened vide from

Cheque No.: | | Amount | | favoring StockHolding ServicesLtd.

Account No./Bank Name | | |

Employee Name_____ Seal & Sign of Officer _____

Note: This acknowledgement does not constitute automatic acceptance of the document and places no obligation on StockHolding Services Limited to open the account. If the form is invalidated for any reason, StockHolding Services Limited is under no obligation to return the same to the applicant(s)