# **ANNEXURE - 1 - INDEX OF DOCUMENTS**

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		B. Document captures the additional information about the constituent relevant to trading account and an instruction/ check list.	17-21
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NI-	mo of stock broker/		

Name of stock broker/ trading member/clearing member	B. D. SHROFF SECURITIES PVT LTD		
SEBI Registration No. and date	INZ 000228735 & Dated: 01/03/2019		
	BSE Member Code No.: 063		
Registered office & Correspondence office address:	Mulla House, 1st Floor, 51 M.G.Road, Fort, Mumbai - 400 001 Tel.: 22042990, 22850062, 22855782, E-Mail: bdsspl63@bdshroffspl.com		
Branch office address:	12/13, Esplande, 3rd Floor, 3, Amrit Keshav Nayak Marg, Fort, Mumbai - 400 001		
Compliance officer name: phone no. & email id:	Cyrus B. Shroff 98200 73305 • cumiandcyrus@gmail.com		
CEO name: phone no. & email id:	Cyrus B. Shroff 98200 73305 • cyrusshroff@bdshroffspl.com		

For any grievance/dispute please contact **B. D. SHROFF SECURITIES PVT LTD** at the above address or email id: bdssplquery@gmail.com and Phone no. 91-022-2204 2990. In case not satisfied with the response, please contact the concerned exchange(s) at on BSE Tel:-022 22721233/34 E-mail id:- is@bseindia.com & you can lodge grivances with SEBI at: https://scores.gov.in or Toll Free No.: 1800227575

#### INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (Please submit the KYC documents on A4 size paper only) A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- 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

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

- PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Secon D).
- Original Verified Documents (OVD) are acceptable: Unique Idenficaon Number (UID) (Aadhaar)/Passport/Voter ID card/Driving License/Letter issued by NPR/ NREGA job card.
- If driving license number or passport is provided as proof of identy then expiry date is to be mandatorily furnished.
- Mention idenfication/reference number if 'Z Others (any document nofied by the central government)' is ticked.
- Others Identy card with applicant's photograph issued by any of the following: Central/State Government Departments, Statutory/Regulatory Authories, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universies, 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.)

- PoA to be submied only if the submied PoI does not have an address or address as per Pol is invalid or not in force.
- Others includes Ulity bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdicons and leer issued by Foreign Embassy or Mission in India
- Identy card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authories, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Ins-Instuons, Colleges affliated to Universies, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members
- Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
- For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apos-tilled or consularized) that gives registered address should be taken.
- Proof of address in name of spouse may be accepted.
- Registered lease or Sale agreement/Flat maintenance bill/Insurance copy/Ration

- card/Latest Property tax
- Original Verified Documents (OVD) are acceptable: Unique Idenficaon Number (UID) (Aadhaar)/ Passport/Voter ID card/Driving License/Letter issued by NPR/ NREGA job card

#### Exemptions/clarifications to PAN

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

- 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.
- Investors residing in the state of Sikkim.
- 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in
- SIP of Mutual Funds upto Rs 50, 000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

#### E. List of people authorized to attest the documents:

- Authorized Official of Asset Management Companies (AMCs).
- Authorized Official of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
- KYC compliant mutual fund distributors affiliated to Associaon of Mutual Funds 3. (AMFI) and have undergone the process of 'Know Your Distributor (KYD) '.
- Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designaon & Seal should be affixed
- 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 permied to attest the documents.

# Online Mode Processing of KYC:

- EKYC BIOMETRIC
  - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
  - · The documents should be e-signed.
  - Applicant details are verified using UIDAI Biometric details.
  - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
  - · Intermediary attestation on documents is exempted.

# EKYC OTP

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal
- · The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
- Intermediary attestation on documents is exempted.

### ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- · The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

#### OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted. DIGILOCKER
- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
- Intermediary attestation on documents is exempted.

	Know Your Client (CKYC) + KRA Form		·ciß·	MANDATORY
	Application Form (For Individuals Only)		l rvi	D. SHROFF SECURITIES PVT LTD
	Please fill this form in English & in BLOCK letters Fields marked * are mandatory			D. SHROFF SECURITIES PVI LID
	•	- +- 610/6		
	if processing CK	ng to CKYC and		is by aliab of a DOV
	ase Tick by Click			ick by click of a BOX  NEW KYC   Modification KYC
			CKYC Number:	
☐ Normal ☐ EK	YC OTP 🗖 EKYC	Biometric 🗖 Onlin	e KYC 🗖 Online KYC 🗖 (	
1. IDENTITY DE	TAILS (Please refe	er guidelines overl	eaf)	
PAN*		Please en	close a duly attested cop	ov of your PAN Card
Maiden Name* (				
Father / Spouse	· · · · · · · · · · · · · · · · · · ·			
Date of Birth*				
	☐ M- Male	☐ F- Female	———— ☐ T-Transgender	
Marital Status*	☐ Single	■ Married	-	Recent passport size
Nationality*	☐ Indian	☐ Other		Applicant Photo
Proof of Identity	PIO selection Select NRI or	is only for CKYC a Foreign National	and Foreign Nationals. and not for KRA KYC. based on Nationality of t d cases (please tick)	Cross Signature across photograph the Individual)
🗖 A - Aadhaar Ca	ard	XXXX XX	XX	
☐ B - Passport N				(Expiry Date)
C - Voter ID Ca	-			(5
☐ D - Driving Lice ☐ E - NREGA Job				(Expiry Date)
	pulation Register			
☐ Z - Others				y document notified by Central Government)
Identification Nu	mber			
2. Address Deta	ils* (Please refer	guidelines overle	af)	
A. Corresponden	ce/Local Address*			
Line 1*				
				Pin Code*
			☐ Business ☐ Registere	<del></del>
				Applicant e-SIGN
				Applicable

3

B. Permanent residence address of applicant, i	if different from aho	ove A/Overseas Addres	ss* (Mandatory for NRI applicant)		
Line 1*			(managery for this approach,		
Line 2					
Line 3					
City/Town/Village*		Pir	n Code*		
State*					
Address Type* ☐ Residential/Business ☐					
Proof of Address* (attested copy of any 1 F					
☐ A - Aadhaar Card	XXXX XXXX	-	·		
☐ B - Passport Number		 (Expiry Date)			
C - Voter ID Card			5 . 5 . )		
<ul><li>□ D - Driving Licence</li><li>□ E - NREGA Job Card</li></ul>			Expiry Date)		
☐ F - National Population Register Letter					
☐ Z - Others			ocument notified by Central Government)		
Identification Number					
3. Contact Details* (in CAPITAL)					
Email ID*					
Mobile Number*		-			
Tel. (Off.)		_ Tel. (Res.)			
4. Applicant Declaration					
<ul> <li>I/We hereby declare that the KYC details furnish and correct to the best of my/our knowledge at undertake to inform you of any changes therein, it any of the above information is found to be misleading or misrepresenting, I am/we aware the liable for it.</li> <li>I/We hereby consent to receiving information from SMS/Email on the above registered number/emediates a lame and the sharing my/our masked Aadhaar card with refuge a lame and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our masked Aadhaar card with refuge and the sharing my/our my/our</li></ul>	and belief and I/we immediately. In case false or untrue or at I/we may be held om CVL KRA through nail address. based KYC, my KYC /We hereby condent eadable QR code or th passcode and as	Applicant e-SIGN	Applicant Wet-signature		
Place:					
5. For Office Use Only					
In Person Verification (IPV) carried out by	*	☐ Self Certified do	cument copies received (OVD)		
IPV Date		☐ True Copies of d	ocuments received (Attested)		
Emp. Name:		Pos Code:			
Emp. Code:		B. D. SHROFF SEC	URITIES PVT LTD		
Emp. Designation:		CODE: 063			
		IPV Stamp	& Signature Required		
Employee Signature and Star	np				

Know Your Client (KYC) Application Form (For Non-Individuals Only) Please fill this form in English & in BLOCK letter Fields marked * are mandatory	
Helus illained are illailuatory	B. D. SHROFF SECURITIES PVT LTD
Fields marked <sup>+</sup> are pertaining to CKYC an mandatory only if processing CKYC also	d Application Number:
KYC Mode*: Please Tick by Click on Box	CKYC Number:
Application Type* ☐ NEW KYC ☐ Modification K	YC
1. ENTITY DETAILS (Please refer guidelines)	
PAN* Please	enclose a duly attested copy of your PAN Card
Name* (same as ID proof)	
Date of Incorporation*	Place of Incorporation*
Date of Commencement*	Registration Number*
Entity Type* □ Private Ltd. Co. □ Public Please tick (✓) □ Trust/Charity/NGO □ HUF □ AOP □ Bank □ Body of Individuals □ Non-Government Organization	☐ FPI Category I ☐ FPI Category II ☐ Government Body ☐ Defence Establishment ☐ Society ☐ LLP
2. Proof of Identity* (Please refer the guideline	5)
☐ Officially Valid Document(s) in respect of person	authorised to transact
☐ Certificate of Incorporation/Formation	Registration Certificate
☐ Memorandum of Articles and Association ☐	Partnership Deed
	to its manager, office, employees to transact on its behalf
☐ Activity Proof-1* (For Sole Proprietorship Only)	☐ Activity Proof-2* (For Sole Proprietorship Only)
3. Address Details* (Please refer guidelines)	
A. Registered Address*	
Line 1*	
Line 2	
Line 3	
	rt*Pin Code*
State* Country*	
	•
B. Correspondence/Local Address in India (if diffe	
Line 1*	
Line 1*	
Line 1* Line 2 Line 3	
Line 1* Line 2 Line 3 City/Town/Village* Distriction	ct*Pin Code*
Line 1* Line 2 Line 3	ct*Pin Code*

Proof of Address* (attested copy of any one POA to be subr	nitted-#Not more than 3 months old)		
☐ Certificate of Incorporation/Formation ☐ Registration	Certificate		
☐ Latest Tel. Bill* (Landline only) ☐ Latest Electr	icity Bill*		
☐ Registered Lease/Sale Agreement of O ce Premises <b>Val</b>	lidity/Expiry Date of POA (Expiry Date)		
☐ Any other proof of address document (as listed overleaf)			
4. Contact Details* (in CAPITAL)			
Email ID*	lobile No.		
Email ID*	lobile No.		
Tel. (Off.)	Fax		
5. Annexures Submitted			
Number of Related Persons			
6. Remarks/Additional Information			
7. Applicant Declaration			
• I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we	Applicant e-SIGN Applicant Wet-signature		
undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or	<b>⊕</b>		
misleading or misrepresenting, I am/we aware that I/we may be held liable for it.	icable		
I/We hereby consent to receiving information from CVL KRA through	" VOD.		
SMS/Email on the above registered number/email address.  Date: (DD-MM-YYYY)	wot Applicable		
Place:	First Director/Trustee/Partner		
8. For Office Use Only	The Directory in decopy transmit		
KYC carried out by*	☐ Self Certified document copies received (OVD)		
10/0 5	☐ True Copies of documents received (Attested)		
KYC Date	AMC/Intermediary Name or Code:		
Emp. Name:	Pos Code:		
Emp. Code:	B. D. SHROFF SECURITIES PVT LTD		
Emp. Designation:	CODE: 063		
- Ling. Designation.	IPV Stamp & Signature Required		
Employee Signature and Stamp	ii v Stamp & Signature Required		

First Director/Trustee/Partner	ċ	MANDATORY
Know Your Client (KYC)	.cŵ.	
Annexure (For Non-Individuals Only)	GVL B.	D. SHROFF SECURITIES PVT LTD
Please fill this form in English & in BLOCK letters		
Fields marked * are mandatory	A call call a chi	
Fields marked * are pertaining to CKYC and	Application Number:	
mandatory only if processing CKYC also	CKYC Number:	
Please tick by click of a BOX		
Application Type* NEW KYC Modification KYC	or guidalines averlant	
1. IDENTITY DETAILS of Related Person (Please ref		
PAN* Please end		
Name* (same as ID proof)		
Maiden Name* (if any)		
Father/Spouse's Name*		
Date of Birth*		
Gender* ☐ M- Male ☐ F- Female	□ T-Transgender	
Nationality*		
Dolotod Dovern Time*		Applicant Photo
Related Person Type*  ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner	☐ Court Appointed Official P	Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner		
☐ Others (please specify)	DIN:(m	andatory if the related person is Director)
Proof of Identity (POI) submitted for PAN exempted	d cases (please tick)	
☐ A - Aadhaar Card XXXX XXX	<b>ΚΧ</b>	
D. D. Dossnort Number		(Expiry Date)
☐ C - Voter ID Card		
☐ D - Driving Licence		(Expiry Date)
E - NREGA Job Card		
☐ Z - Others Identification Number	(an	y document notified by Central Government)
identification Number		
2. Address Details* (Please refer guidelines overlea	af)	
A. Correspondence/Local Address*		
Line 1*		
Line 2		
Line 3		
City/Town/Village* District*		
State* Country* Address Type* □ Residential/Business □ Residential		
Address Type	a busilless a negistere	Applicant e-SIGN
		Not Applicable
		NOT APP.

B. Permanent residence address of applicant, i	f different from ab	ove A/Overseas Addre	ss* (Mandatory for NRI applicant)
Line 1*			indicatory for this applicant,
Line 2			
Line 3			
City/Town/Village*	District*	Pir	n Code*
State*(	Country*		
Address Type* $\square$ Residential/Business $\square$	Residential 🗖 Bu	siness 🗖 Registered	Office 🗖 Unspecified
Proof of Address* (attested copy of any 1	POA for correspon	dence and permanent	address each to be submitted)
A - Aadhaar Card	XXXX XXXX		
☐ B - Passport Number ☐ C - Voter ID Card			Expiry Date)
☐ D - Driving Licence			Expiry Date)
☐ E - NREGA Job Card			
☐ F - National Population Register Letter☐ Z - Others			ocument notified by Central Government)
Identification Number		(,	,
3. Contact Details* (in CAPITAL)			
Email ID*			
Mobile Number*		-	
Tel. (Off.)		Tel. (Res.)	
4. Applicant Declaration			
<ul> <li>I/We hereby declare that the KYC details furnish and correct to the best of my/our knowledge and undertake to inform you of any changes therein, if any of the above information is found to be misleading or misrepresenting, I am/we aware the liable for it.</li> <li>I/We hereby consent to receiving information from SMS/Email on the above registered number/en</li> </ul>	and belief and I/we mmediately. In case false or untrue or at I/we may be held om CVL KRA through	Applicant e-SIGN  Not Applicable	Applicant Wet-signature
Date: (DD-MM-YYYY)			
Place:			Second Director/Trustee/Partner
5. For Office Use Only			
KYC carried out by*		Inter	mediary Details*
KYC Date		☐ Self Certified do	cument copies received (OVD)
Emp. Name:		☐ True Copies of d	ocuments received (Attested)
Emp. Code:		Pos Code:	ULDITIES DVT LTD
Emp. Designation:		B. D. SHROFF SEC	URITIES PVI LID
			-
Employee Signature and Star	np	Institut	ion Name & Stamp
1 / 0 ::: : :	0		· •

Second Director/Tructoe/Doutney	ė	MANDATORY
Second Director/Trustee/Partner	·c∭>·	MANDATONI
Know Your Client (KYC)  Annexure (For Non-Individuals Only)	CVL	B. D. SHROFF SECURITIES PVT LTD
Please fill this form in English & in BLOCK letters Fields marked * are mandatory		
Fields marked + are pertaining to CKYC and	Application Number:	
mandatory only if processing CKYC also	CKYC Number:	
Please tick by click of a BOX	•	
Application Type* ☐ NEW KYC ☐ Modification KYC		
1. IDENTITY DETAILS of Related Person (Please ref	_	
PAN* Please end	close a duly attested c	opy of your PAN Card
Name* (same as ID proof)		
Maiden Name* (if any)		
Father/Spouse's Name*		
Date of Birth*		
Gender* ☐ M- Male ☐ F- Female	☐ T-Transgender	
Nationality*		
Polated Person Type*		Applicant Photo
Related Person Type*  ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner	☐ Court Appointed Officia	l Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner	• •	. Trophicio.
☐ Others (please specify)	DIN:	(mandatory if the related person is Director)
Proof of Identity (POI) submitted for PAN exempted	d cases (please tick)	
☐ A - Aadhaar Card XXXX XXX	ΚΧ	
☐ B - Passport Number		(Expiry Date)
☐ C - Voter ID Card		
D - Driving Licence		(Expiry Date)
□ E - NREGA Job Card		
		(any document notified by Central Government)
Identification Number		(any document notined by Central Government)
2. Address Details* (Please refer guidelines overlea	af)	
A. Correspondence/Local Address*		
Line 1*		
Line 2		
Line 3		
City/Town/Village* District*		
State* Country* _		
Address Type* ☐ Residential/Business ☐ Residential	☐ Business ☐ Registe	ered Office Unspecified
		Applicant e-SIGN
		isable
		Not Applicable

B. Permanent residence address of applicant, i	f different from ab	ove A/Overseas Addre	ss* (Mandatory for NRI applicant)
Line 1*			indicatory for this applicant,
Line 2			
Line 3			
City/Town/Village*	District*	Pir	n Code*
State*(	Country*		
Address Type* $\square$ Residential/Business $\square$	Residential 🖵 Bu	siness 🗖 Registered	Office 🖵 Unspecified
Proof of Address* (attested copy of any 1	POA for correspon	dence and permanent	address each to be submitted)
A - Aadhaar Card	XXXX XXXX		
☐ B - Passport Number ☐ C - Voter ID Card			Expiry Date)
☐ D - Driving Licence			Expiry Date)
☐ E - NREGA Job Card			
☐ F - National Population Register Letter☐ Z - Others			ocument notified by Central Government)
Identification Number		(,	, , , , , , , , , , , , , , , , , , , ,
3. Contact Details* (in CAPITAL)			
Email ID*			
Mobile Number*			
Tel. (Off.)		Tel. (Res.)	
4. Applicant Declaration			
<ul> <li>I/We hereby declare that the KYC details furnish and correct to the best of my/our knowledge and undertake to inform you of any changes therein, if any of the above information is found to be misleading or misrepresenting, I am/we aware the liable for it.</li> <li>I/We hereby consent to receiving information from SMS/Email on the above registered number/en</li> </ul>	and belief and I/we immediately. In case false or untrue or at I/we may be held om CVL KRA through	Applicant e-SIGN  Not Applicable	Applicant Wet-signature
Date: (DD-MM-YYYY)			
Place:			Second Director/Trustee/Partner
5. For Office Use Only			
KYC carried out by*		Inter	mediary Details*
KYC Date		☐ Self Certified do	cument copies received (OVD)
Emp. Name:		☐ True Copies of d	ocuments received (Attested)
Emp. Code:		Pos Code:	HIDITIES DVT ITD
Emp. Designation:		B. D. SHROFF SEC	OKITIES PVT LID
			<u>'</u>
Employee Signature and Star	mp	Institut	ion Name & Stamp
	10	l	

Third Director/Trustee/Partner	Ġ	MANDATORY		
Know Your Client (KYC)	.c∭>.			
Annexure (For Non-Individuals Only)	CVL	B. D. SHROFF SECURITIES PVT LTD		
Please fill this form in English & in BLOCK letters				
Fields marked * are mandatory	A collection No color			
Fields marked * are pertaining to CKYC and	Application Number:			
mandatory only if processing CKYC also	CKYC Number:			
Please tick by click of a BOX				
Application Type* ☐ NEW KYC ☐ Modification KYC  1. IDENTITY DETAILS of Related Person (Please reference)	or guidalines averlant			
		<b>.</b>		
PAN* Please end				
Name* (same as ID proof)				
Maiden Name* (if any)				
Father/Spouse's Name*				
Date of Birth*				
Gender* ☐ M- Male ☐ F- Female	☐ T-Transgender			
Nationality* ☐ Indian ☐ Other		Applicant Photo		
□ B - Passport Number □ C - Voter ID Card □ D - Driving Licence □ E - NREGA Job Card □ F - National Population Register Letter □ Z - Others	☐ Beneficial Owner  DIN:  I cases (please tick)  (X			
Identification Number				
2. Address Details* (Please refer guidelines overlead) A. Correspondence/Local Address* Line 1* Line 2 Line 3				
City/Town/Village* District*		_ Pin Code*		
State* Country*				
Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified				
		Applicant e-SIGN		
		Not Applicable		

			* (2.2 1.2 6.2 2.2 1.2 2.2	
B. Permanent residence address of applicant,			ss* (Mandatory for NRI applicant)	
Line 1*				
Line 2				
Line 3				
City/Town/Village*				
State*				
Address Type* ☐ Residential/Business ☐				
<b>Proof of Address*</b> (attested copy of any 1	•	·	address each to be submitted)	
☐ A - Aadhaar Card ☐ B - Passport Number	XXXX XXXX		(Expiry Date)	
☐ C - Voter ID Card			(Expiry Date)	
D - Driving Licence		(Expiry Date)		
<ul><li>□ E - NREGA Job Card</li><li>□ F - National Population Register Letter</li></ul>		<del></del>		
☐ Z - Others			locument notified by Central Government)	
Identification Number				
3. Contact Details* (in CAPITAL)				
Email ID*				
Mobile Number*				
Tel. (Off.)		Tel. (Res.)		
4. Applicant Declaration				
I/We hereby declare that the KYC details furnis		Applicant e-SIGN	Applicant Wet-signature	
and correct to the best of my/our knowledge undertake to inform you of any changes therein,			<b>@</b>	
any of the above information is found to be misleading or misrepresenting, I am/we aware the	false or untrue or	%e		
liable for it.	•	Not Applicable		
<ul> <li>I/We hereby consent to receiving information fro SMS/Email on the above registered number/er</li> </ul>		× VOA		
Dotto: (DD MAM VVVVV)		40,		
Date: (DD-MM-YYYY)			Coopered Discoston/Truston/Douteron	
Place:			Second Director/Trustee/Partner	
5. For Office Use Only				
KYC carried out by*			mediary Details*	
KYC Date			cument copies received (OVD)	
Emp. Name:		·	ocuments received (Attested)	
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Emp. Designation:		CODE: 063	OKITIEST VI LID	
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Free land of the state of the s			to a Name of Ct	
Employee Signature and Star	mp	Institut	ion Name & Stamp	

#### INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

#### A. IMPORTANT POINTS:

Self-attestation of documents is mandatory.

Copies of all documents that are submied need to be compulsorily self-aested by the applicant and accompanied by originals for verificaon. In case the original of any document is not produced for verificaon, then the copies should be properly aested by enes authorized for aesng the documents,

as per below list menoned list.

If any proof of identy or address is in a foreign language, then translaon into English is required.

Name & address of the applicant menoned on the KYC form, should match with the documentary

proof submied.

proof submied. If correspondence & permanent addresses are different, then proofs for both have to be submied. Sole proprietor must make the applicaon in his individual name & capacity. For non-residents and foreign naonals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory. For foreign enes, CIN is oponal; and in absence of DIN no. for the directors, their passport copy should be given. In case of Merchant Navy NRI's, Mariner's declaraon or certied copy of CDC (Connuous Discharge Certicate) is to be submied. 8.

In case of Merchant Navy NRI's, Mariner's declaraon or cerfied copy of CDC (Connuous Discharge Cerficate) is to be submied.
 For opening an account with Depository parcipant or Mutual Fund, for a minor, photocopy of the School Leaving Cerficate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Cerficate must be provided.
 Polically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior polician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official etc.
 Proof of Identity (POI): - List of documents admissible as Proof of Identity:
 PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Secon D).
 Original Verified Documents (OVD) are acceptable: Unique Idenficaon Number (UID) (Aadhaar)/ Passport/Voter ID card/Driving License/Letter issued by NPR/NREGA job card.
 If driving license number or passport is provided as proof of identy then expiry date is to be mandatorily furnished.
 Mention idenfication/reference number if 'Z – Others (any document nofied by the central government)' is ticked.
 Others – Identy card with applicant's photograph issued by any of the following: Central/State Government Departments, Statutory/Regulatory Authories, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universies, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members and Credit cards/Debit cards issued by Banks.
 Proof of Address:

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. PoA to be submied only if the submied Pol does not have an address or address as per Pol is invalid

Others includes – Ulity bill which is not more than 3 months old of any service provider (electricity

landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdicons and leer issued by Foreign Embassy or Mission in India lently card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authories, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Ins-Instuons, Colleges affliated to Universies, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members

Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.

For Fil/Sub account, Power of attorney given by Fil/Sub account to the custodians (which are duly notarized and/or apos-tilled or consularized) that gives registered address should be taken. Proof of address in name of spouse may be accepted.

Registered lease or Sale agreement/Flat maintenance bill/Insurance copy/Ration card/Latest Property

Original Verified Documents (OVD) are acceptable: Unique Idenficaon Number (UID) (Aadhaar)/ Passport/Voter ID card/Driving License/Letter issued by NPR/NREGA job card D. Exemptions/clarifications to PAN

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

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.

Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/² per investor per year per Mutual Fund.
 Transacons undertaken on behalf of Central/State Government, by Officials appointed by Courts, e.g. Official liquidator, Court receiver, etc.
 Investors residing in the state of Sikkim.
 UN enes/mullateral agencies exempt from paying taxes/filing tax returns in India.
 In case of instuonal clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Mullateral and Bilateral development financial instuons, State Industrial development corporaons, insurance companies registered with IRDA and public financial instuons as defined under secon 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly cerfied copies of such verified PAN details to the intermediary.
 List of people authorized to attest the documents:

 Authorized Official of Asset Management Companies (AMCs).
 Authorized Official of Asset Management Companies (AMCs).
 Authorized Official of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
 KYC compliant mutual fund distributors affiliated to Associaon of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
 Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designaon & Seal should be affixed on the copy).
 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 permied to attest the documents.

 ONLINE KYC
 ONLINE KYC
 ONLINE MYC

#### ONLINE KYC

Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal. The documents should be digitally signed using DSC.

2. Others includes – Only bill which	Intermediary attestation on documents (OSV) is exempted.
Types of entity	Additional Documents Required over & above PAN, POI & POA
Corporate	<ul> <li>Copy of Balance Sheet for the last to financial years (to be submied every year).</li> <li>Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulaons, duly cerfied by the company secretary/whole time director/MD (to be submitted every year).</li> <li>Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations.</li> <li>Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>Copy of Memorandum and Articles of Association and Certificate of Incorporation.</li> <li>Copy of Board Resolution for Investment in security markets.</li> <li>Authorized signatories list with specimen signatures.</li> <li>Shareholding pattern.</li> </ul>
Partnership firm	<ul> <li>Copy of Balance Sheet for the last to financial years (to be submitted every year).</li> <li>Cerficate of Registration (for registered partnership firms only).</li> <li>Copy of Partnership Deed.</li> <li>Authorized signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> <li>Shareholding pattern.</li> </ul>
Trust	<ul> <li>Copy of Balance Sheet for the last to financial years (to be submied every year).</li> <li>Cerficate of Registration (for registered Trusts only).</li> <li>Copy of Trust Deed.</li> <li>List of Trustees cerfied by Managing Trustees/CA • Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul> <li>PAN of HUF.</li> <li>Deed of declaration of HUF or List of Co-parceners.</li> <li>Bank Pass-book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated Association or a body of individuals	<ul> <li>Proof of Existence/Constitution document.</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.     Authorized signatories list with specimen signatures.
Army/ Government Bodies	Self-certification on letterhead.     Authorized signatories list with specimen signatures.
Registered Society	<ul> <li>Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>
FPI Category I	<ul> <li>FPI Cerficate • Constitution Documents</li> <li>Copy of Board Resolution (optional) • Shareholding pattern and Ultimate Beneficiary Owners List (UBO)</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
FPI Category II	FPI Cerficate • Constitution Documents     Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity     Authorized signatories list with specimen signatures.
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CENTRAL KY	C REGISTRY - KNO	OW YO	UR	CLI	ENT	(KY	C) AF	PLIC	ATI	ON	FOR	M -	IND	IVID	UAL	M	AND	ATORY
Important Instructi								ion w	/ise	detail	led g				truction			
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□ B- Voter ID Card							]											
☐ C- Driving Licen	ce l			Ì		Ì												
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District*		PIN/Post	Cod	e*				Sta	ate ,	/U. T.	Cod	le*		ISO	3166 Cd	ountry	Code*	·
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☐ 4. CONTACT D	FTAILS (All comm	nunications v	vill be se	nt to N	Mobile	no e	/ F	mail-	ID) (I	Plead	se re	fer i	nstru	ıction	C at	the	en	d)		
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### CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

### A Clarification / Guidelines on filling 'Personal Details' section

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

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

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

Document Code Description

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

# C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-99999999). Do not add '0' in the beginning of Mobile number.
- 2 Email id (Mandatory)

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

1 Provide KYC number of related person, if available.

# **E Clarification on Minor**

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

CKYC/KRA Registration details (For office purpose only)  KRA/CKYC Registry  If client is already registered with KRA please fill in below details:										
□ NDML □ CVL □ Others	(Please tick (✓) any one)									
Date of fetching KRA: DDMMYYYY										
Cersai Registration No.:	-									
Subject: Displaying of information regarding SEBI Complaint Redress System (SCOR As per BSE Notice No. 20190704-44 Dated July 4, 2019 in order to make complaint refficient through SCORES clients may note the following procedures:  a. Register on Scores portal (Link: https://scores.gov.in/scores/Welcome.html)  b. Mandatory details for filing complaints on SCORES  i. Name, PAN, Address, Mobile Number, Email id  c. Benefits:  i. Effective communication  ii. Speedy redressal of the grievances  Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.gov.in										

For Individuals & Non-individuals

# ANNEXURE – 3 TRADING ACCOUNT RELATED DETAILS

MANDATORY

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If you	If you do not wish to trade in any of segments/Mutual Fund, please mention here													
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. 10,00,001/- □ Above Rs. 100,00,001/-													
	□ Rs. 10,00,001/- to Rs. 25,00,000/- □ Rs. 25,00,001/- to Rs. 100,00,000/- □ Above Rs. 100,00,001/-  Net worth as on Date: (Net worth should not be older than 1 year)													
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NOMINATION FORM

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/MIRSD\_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Mandatory Nomination for Eligible Trading and Demat Accounts] (To be filled in by individual applying singly or jointly)

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B.D.SHROFF - 08-08-2023

# **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	Self declaration with relevant supporting
of assets.	documents.

<sup>\*</sup>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.

- Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (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/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- 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.

#### ANNEXURE – 4

**MANDATORY** 

# RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges

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

#### **CLIENT INFORMATION**

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

#### **MARGINS**

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

# TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure

- to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
- 14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
- 15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
- 16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
- 17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/ notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

#### **BROKERAGE**

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

#### LIQUIDATION AND CLOSE OUT OF POSITION

- 19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
- 20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
- 21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/ delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/ proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/ Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

# **DISPUTE RESOLUTION**

- 22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
- 23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
- 24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
- 25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
- 26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with

the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

#### **TERMINATION OF RELATIONSHIP**

- 27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
- 28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
- 29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

### **ADDITIONAL RIGHTS AND OBLIGATIONS**

- 30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
- 31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
- 32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
- 33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
- 34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
- 35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
- 36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
- 37. The stock broker/stock broker and depository participant 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.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

- 38. 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.
- 39. 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.
- 40. 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.
- 41. 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 existing regulations of SEBI/stock exchanges.
- 42. 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.
- 43. 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

- 44. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Byelaws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
- 45. 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.
- 46. 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.
- 47. 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.
- 48. 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.
- 49. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

#### RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

# 1. BASIC RISKS:

## 1.1 Risk of Higher Volatility:

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

#### 1.2 Risk of Lower Liquidity:

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

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

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

#### 1.3 Risk of Wider Spreads:

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

#### 1.4 Risk-reducing orders:

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

- **1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.
- **1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all
- 1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre -determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

### 1.5 Risk of News Announcements:

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

# 1.6 Risk of Rumors:

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

#### 1.7 System Risk:

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

- **1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.
- **1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

## 1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination

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

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

# 2.1 Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

## 2.2 Currency specific risks:

- 1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
- 3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

## 2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short

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

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

#### 2.4 Risks of Option Writers:

- 1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
- 2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
- 3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.
- 3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY: Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

#### 4. GENERAL

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

#### **ANNEXURE-6**

**MANDATORY** 

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

#### **BEFORE YOU BEGIN TO TRADE**

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

#### TRANSACTIONS AND SETTLEMENTS

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

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

#### IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

#### **DISPUTES/ COMPLAINTS**

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

**MANDATORY** 

#### POLICIES AND PROCEDURES (MANDATORY) OF B. D. SHROFF SECURITIES PVT. LTD.,

This document outlines various policies and procedures framed and followed by B. D. SHROFF SECURITIES PVT. LTD. ("BDSSPL") with respect to its dealing with its clients and as a Stock Broker on Bombay Stock Exchange Ltd., (BSE).

The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of BDSSPL, depending upon regulatory changes, its risk management framework, other market conditions, etc

#### A) Refusal of orders for penny stocks:

There are shares of certain companies which are known as "Penny Stocks". There is no formal list of "Penny Stocks" issued by the Exchanges or SEBI. However from time to time the Exchanges issue a list of "Illiquid Stocks" and "Penny Stocks" may form a part of them but not necessarily so.

BDSSPL recognizes that it is the clients privilege to choose shares in which he/she/they would like to trade. With respect to trading in "Penny Stocks":

- BDSSPL may allow solely on its own discretion, acceptance of orders of the client in "Penny Stocks" .Prior to acceptance of such orders, BDSSPL reserves the right to ask the client for compulsory settlement/pay full upfront margin/upfront delivery of securities for settlement. It is known that trading in "Penny Stocks" are highly risky and that any financial obligations/losses thus aroused will be borne exclusively by the client alone.
- BDSSPL may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
- Clients must ensure that trading in "Penny stocks do not result in creation of artificial volume or false or misleading appearance of trading.
- Clients are expected not to place orders in "Penny Stocks" at prices which are substantially different from the prevailing market rates.
- BDSSPL will not be responsible for any loss of opportunity by the client on our refusal to execute client's orders in "Penny Stocks".
- BDSSPL reserves the right to refuse or restrict the execution of any transaction requests of the Client on certain stocks depending on various conditions like volume, value, illiquidity, even though a client may have credit balance or sufficient margin in the trading account or restrictions in Z group/T group or restrictions on ASM/GSM securities appearing in SMS list.

### B) Setting up Client's Exposure limits:

- Exposure limits for each client is determined by the Risk Management System based on
  - a) Net Worth information,
  - b) Clients financial capacity
  - c) Past track record/Goodwill of the client
  - d) Prevailing market conditions
  - e) Ledger Balance/Margin deposited by the client in form of funds/securities pledged with BDSSPL.
- BDSSPL retains the discretion to set and modify from time to time any clients exposure limits as decided above. BDSSPL will not disclose their rational/logic of their decision about fixation of limits.

#### C) Applicable Brokerage Rate:

- BDSSPL will charge brokerage to the clients at a rate as may be mutually agreed from time to time.
- Brokerage will be exclusive of Transaction Charges, Stamp Duty, Security Transaction Tax, Service Tax, SEBI Turnover fees or any other tax/levy imposed by the Exchange/SEBI/or any other government agencies.
- The maximum brokerage chargeable shall be 2.5% of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale/purchase value of a share is Rs10/- or less a maximum brokerage of 25 paise per share may be collected.
- The applicable brokerage rate is mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client.

# D) Imposition of penalty/delayed payment charges by either party specifying the rate and the period not resulting in funding by the broker in contravention of the applicable laws.

- Any Penalty and other charges levied by Exchanges or any authority in connection with /or as a consequence of/ in relation to any orders/trades/deals/actions of the client the same will be borne/recovered from the respective client s as long as such recovery is not restricted by law.
- All clients who have agreed to have a "Running Account" with BDSSPL will have to make payments due to the Company on or before the due date.
- BDSSPL is not in the business of funding client's positions, hence delayed payment charges will not be charged.

- In cases of cheque bouncing, BDSSPL will recover the bank charges plus applicable taxes from the clients. Clients will also be liable to return the securities delivered to their DP's through auto payout system
- No interest or charges will be paid by BDSSPL to any client on retention of funds or securities towards meeting future settlement obligations and in respect of "Running Account" authorizations.

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

- B. D. Shroff Securities Pvt Ltd shall have the sole discretion to square off the open position of the Client and/or sell clients' securities (including securities maintained as margin with B. D. Shroff Securities Pvt Ltd and securities lying in client's beneficiary/demat account) in case the Client fails to meet its settlement/margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by B. D. Shroff Securities Pvt Ltd. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by B. D. Shroff Securities Pvt Ltd. B. D. Shroff Securities Pvt Ltd shall have no obligation of communicating the same to the Client. B. D. Shroff Securities Pvt Ltd shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client.
  - B. D. Shroff Securities Pvt Ltd reserves the right to square off client's open positions or sell clients' securities under following circumstances:
  - (i) Where the limits given to the Client have been breached.
  - (ii) Where the Client has defaulted on their existing obligation and/or had failed to make payments/deliver securities to B. D. Shroff Securities Pvt Ltd within the stipulated time period.
  - (iii) Where the margin or security placed by the Client with B. D. Shroff Securities Pvt Ltd falls short of the applicable minimum margin as may be required to be maintained by the client.
  - (iv) Where Mark to Market Loss on the open position has reached 80 % of the margins placed with B. D. Shroff Securities Pvt Ltd and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
- (v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time. B. D. Shroff Securities Pvt Ltd shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

# F) Shortages in obligations arising out of internal netting of trades

In case of internal shortage positions, the same shall be sent for self-auction facility where available. Where self-auction facility is not available/not availed (and if permissible at the respective exchange), the securities shall be purchased back in the account of the seller who has not delivered, and the securities so purchased shall be given to the buyer in the receipt of the same. In case the securities cannot be purchased back for any reason whatsoever, the positions will be closed out as per Exchange formula.

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

BDSSPL shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under the following mentioned conditions:

- If the particular client is a Defaulter of an amount due to BDSSPL.
- Value of collateral is insufficient to meet losses incurred by the client.
- If there are insider trading restrictions on the client
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If the particular client is barred from trading on the exchange by the any Exchange and or SEBI
- If in view of the management of BDSSPL the market conditions turn extremely volatile or unfavourable.
- Breach of Bye Laws, Rules and Regulations of the Exchanges and/or SEBI directives.
- Breach of market and/or client-wise permitted position limit.
- Any other reasons as may be provided by BDSSPL from time to time.

### H) Temporarily suspending or closing a client's account based at the Client's request:

- A client may request BDSSPL to temporarily suspend his account through a written request stating the reason for temporary suspension and period of suspension.
- Whenever, any suspended account wants to resume trading, a request will have to be made in writing and BDSSPL may ask for updated financial information and other details before reactivating such an account.

#### I) Deregistering a Client:

BDSSPL shall be entitled to deregister a client with immediate effect in any of the following circumstances:

- SEBI or any other regulatory body has passed an order against such a client, prohibiting or suspending such client from trading in the Securities Market.
- Such a client has been indicated by SEBI or the Exchanges or any other regulatory body in case of market manipulation or insider trading.
- Such clients name appears in the UN list of prohibiting entities or SEBI debarred list
- If the actions of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal functioning of the market, either alone or in conjunction with others.
- If there is any commencement of a legal process against the Client under any law in force
- On death/lunacy or other disability resulting in inaction of the client.
- If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy law or being a Company goes into liquidation or has a receiver appointed in respect of its assets or refers itself the Board of Industrial and Financial Reconstruction or any other law providing protection as a relief undertaking.
- The particular client has defaulted in making payment on the due date, if there is reasonable apprehension that the client is unable to pay, or the Client has admitted its inability to pay its debts.
- If the client is in breach of any term, condition or covenant.
- If any covenant or warranty of the client is incorrect or untrue in any material respect.
- At the request of the client for the same
- By trading member with advance notice
- Breach of Bye Laws, Rules and Regulations of the Exchanges and/or SEBI directives.
- Client's inability to provide important financial/non financial documents/any such mandatory documents as may be required by BDSSPL from time to time and/or as directed by the Exchanges/SEBI.

#### J Inactive Client Account

• A client's account may be treated as inactive if there is no activity in an account for a period of more than 12 months. Reactivation of such clients will be only done after due diligence by BDSSPL, with recent proofs and any upgradation in the KYC form.

#### K Additional information under SEBI circular ref. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20-Jun-2019

- As per the SEBI circular ref. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20-Jun-2019 and the Frequently Asked Questions issued by the Stock exchanges on 27-Sep-2019, the following policies will be followed by us:
- 1. Where securities lying with BDSSPL in collateral or otherwise are in excess of what can be retained by BDSSPL as per the norms of the exchanges, such excess securities will be returned to the client at the time of funds settlement
- 2. Any instructions to BDSSPL for maintaining running account of securities shall stand deleted and BDSSPL shall not act upon such instructions
- 3. In case of non-meeting of settlement obligations, the positions of the clients shall be liquidated in the manner as prescribed in the Risk Management policy of BDSSPL.
- 4. The payment terms would be that the clients have to meet their margin and settlement obligations at a level as prescribed by the exchanges in the manner as prescribed in the Risk Management policy of BDSSPL.

I/We have fully understood the above and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses of this document. These policies and procedures may be amended/changed unilaterally by BDSSPL, provided the amendment/change is informed to me/us. These policies and procedures shall always be read along with the KYC and the annexures therein and shall be compulsorily referred to while deciding any dispute or claim between me/us and BDSSPL before any Regulator or any Court of Law/judicial adjudicating authority including an arbitrator.

	<b>@</b>	
Signature of Client_		
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#### **TARIFF SHEET**

**MANDATORY** 

		CASH	SEGMENT		
		Trading		Del	ivery
			Percent		
	Minimum Rs.	1st side	2nd Side	Minimum Rs.	Percent
General Rates					
Special Rates					

		Same Day		Any Day					
		Percei	nt						
	Minimum Rs.	Trading Slab	2nd Side	Minimum Rs.	Percent 2nd Side				
General Rates		00.00 to 100	0.05 ps						
Special Rates		100.01 to 400	0.10 ps						
		400.01 to 1000	0.15 ps						
		1000.01 to 2000	0.20 ps						
		2000.01 to 4000	0.25 ps						
		4000.01 to 5000	0.30 ps						
		5000.01 to onwards	0.40 ps						

		EQUIT	TY OPTION		
	Same Day			Any Day	
		Percent			
	Minimum Rs.	1st side	2nd Side	Minimum Rs.	Percent 2nd Side
General Rates					
Special Rates					

- The above rates are exclusive of Transaction Charge, Stamp Duty, Securities Transaction Tax, GST, Sebi Fees, Cm Charges & Other Applicable Charges which will be charged extra at the rate prevailing from time to time.
- The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorised Person/Introducer and client and the same are mentioned here.

F			
	Client's Signature	Signature of Sub-broker /	Signature of Broker
		Authorised Person / Introducer	

# DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003

B. D. SHROFF SECURITIES PVT LTD caters to Institutional, Corporate, High net-worth and other retail clients. B. D. SHROFF SECURITIES PVT LTD besides doing client based business also does its own investment and/or trading.

For B. D. SHROFF SECURITIES PVT L
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"Proprietary Trading Disclosure noted"

Director/Authorised Signatory Client Name :

Client Code:

Client's Signature 🖙

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**VOLUNTARY** 

#### **RUNNING ACCOUNT AUTHORISATION**

(The Client need not execute this document if he/she /it does not wish to use the below mentioned facility) To,

#### **B. D. SHROFF SECURITIES PVT LTD**

Mulla House, 1st, Floor, 51 M.G.Road, Fort, Mumbai - 400 001. Dear Sir,

#### **Sub: Running Account Authorization**

In order to facilitate operations of my/our trading account opened, I/We would like to authorise B. D. Shroff Securities Pvt Ltd (hereinafter referred as "BDSSPL") to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

- 1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless/I/We instruct /revoke you otherwise.
- 2. I/We request you to settle my fund account as below: (Tick on appropriate option) ☐ Monthly ☐ Quarterly
- 3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
- 4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
- 5. In case where I/we and I have traded within 30 calender days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a BDSSPL may retain funds in the manner specified below:
  - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
  - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
  - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
- 6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
- 7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at registered office.
- 8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

Thanking You,		
Yours truly,		
Signature of the Client: _	<b>**</b>	_
Place :	Date:	

**VOLUNTARY** 

## ECN (ELECTRONIC CONTRACTS NOTE) LETTER

(The Client need not execute this document if he/she/it does not wish to use the below mentioned facility	)

	Date:
B. D. SHROFF SECURITIES PVT. LTD. Mulla House, 1st, Floor, 51 M.G.Road, Fort, Mumbai - 400001	
Dear Sir,	
Mandate to issue Contracts in digital Format, Ledger Accou	int of Fund, Securities & Margin Statements etc.
I/We hereby authorise you to send me/us the Contract No electronic form on my Email ID given below. The instruction to effect. I/We understand that for the above purpose, you are account" for you to send the ECN. I/We undertake to check t your notice.	issue digital contract note is applicable with immediate e required to take from me/us, "an appropriate email
Accordingly I/We hereby give my/our email ID created by m	e/us for this purpose.
My/our Email ID is (1)	
Alternative Email ID (2)	
I/We also hereby consent to receive  1) Statement of Funds (Ledger Account)  2) Statement of Securities  3) Daily Margin and Collateral Utilisation Statements and other Notices, circulars, amendments and such other stain electronic form duly authenticated by means of a digital statements.	• • • • • • • • • • • • • • • • • • • •
I/We undertake to verify the above statements (other than discrepancies if any will be brought to notice. In absence of the said period, it shall be deemed to be construed that the respects.	any written communication from my/our side within
I/We hereby agree that you shall fulfil your legal obligation, one of the above email ids.	if the above documents are sent electronically to any
I/We understand that any change in the above email ID(s) v separately.	vill be communicated by me through a physical letter
This authorization shall be signed by me only and not by any such as a Remisier/Ap.	power of attorney holder or by any authorized person
Thanking You,	
Yours Faithfully,	
Client Signature	
Client NameClien	nt Code
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		HUF D	ECLARATION		FORMAT
Mulla Hou Fort, Mum	OFF SECURITIES PVT LTD se, 1st Floor, 51 M.G.Road, abai - 400 001.				
Dear Sir,					
•	equest you to open our trading acc a of my family, I hereby declare t n, i.e		•		our HUF, as on date of
SR. NO.			RELATIONS	DATE OF BIRTH	CO-PARCENERS SIGN.
	so declare that the particulars give				
Thanking y Yours truly					
	Declaration to be given	bv pa	 rtnership on	Letter head of	------ the firm
Date: To,	<b>&amp;</b>	-,	<b>,</b>		FORMAT
<b>B. D. SHRO</b> Mulla Hou	<b>DFF SECURITIES PVT LTD</b> se, 1st Floor, 51 M.G.Road, ıbai - 400 001.				
Dear Sir,					
authorize yo We recognize To facilitate	the trading account being opened/oper u as under.  That a beneficiary account cannot be ope the operation of the above trading account trading operations, we authorize you opened as a joint account	ned with a unt with y to recogr	depository participar ou and for the purp nize the beneficiary a	nt in the name of a partner ose of completing the se account No.	rship firm as per Regulations. ecurities transfer obligations
above-menti by you in res We hereby a	at the obligations for shares purchased an oned account. We recognize and accept to spect of trades executed in the above transput of the accept to suthorize	nd /or solo ransfers m ding accou _, partner	I by the firm will be I ade by you to the ber int of the firm. in the firm to execu	handled and completed t neficiary account as comp ate / sign and submit su	olete discharge of obligations of documents, agreements,
order for buy	ring and selling of securities, sell, purchas on behalf of the partnership and to sign t	e, transfer	, endorse, negotiate	and do other things that	may be necessary to engage
	-				
Name of	Partners (In Block Letters)		Signature	S	
Name of	Partners (In Block Letters)		Signature	S	
Name of	Partners (In Block Letters)		Signature	S	

ON OF			
CERTIFIED COPY OF THE RESOLUTION PASSSED AT THE MEETING OF THE BOARD OF DIRECTORS OF			FORMAT
PRESOLVED THAT the Company is empowered to deal on the Capital Market Segment, Futures and Options Segment, Retail Debt Segment or any other segment that may be introduced by the Bombay Stock Exchange Ltd, and is pursuance of the same do open a trading account with B.D.SHROFF SECURITIES PVT. LTD., MUMBAI a Member of the Bombay Stock Exchange Ltd, and is pursuance of the same do open a trading account with B.D.SHROFF SECURITIES PVT. LTD., MUMBAI a Member of the Bombay Stock Exchange Ltd, and is pursuance of the Same do open a trading account with B.D.SHROFF SECURITIES PVT LTD., for buying and selling in the cash segment of the Bombay Stock Exchange Ltd.  RESOLVED FURTHER THAT the Said Trading Member be and is hereby authorised to honour instructions, oral or written, given on behalf of the Company by anyone of the under noted authorised signatories whose specimes signatures are appended here under:  No. Name of Authorised Person Specimen Signature  Be and are hereby authorised severally to  1) Sell, purchase, transfer, negotiate documents and /or otherwise deal through B.D.SHROFF SECURITIES PVT. LTD MUMBAI on behalf of the Company  2) Sign, execute and submit such applications, undertakings and other requisite documents, writing and deeds a may be deemed necessary or expedient to open an account and give effect to this resolution. RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution ancelling or amending the same is passed by the Board of Directors of the Company and furnished to B.D.SHROF SECURITIES PVT. LTD.  RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by anyone of the Directors of the Company be furnished to B.D.SHROFF SECURITIES PVT. LTD., and such other parties as maybe required from time to time.  Por Director/Auth. Signatory  ON THE LETTER HEAD OF COMPANY:  (Ready format)  SHARE HOLDING PATTERN  Name of shareholders holding more than 5% of the Share Capital of the Company  % of holding	· · ·	•	
"RESOLVED THAT the Company is empowered to deal on the Capital Market Segment, Futures and Options Segmen , Retail Debt Segment or any other segment that may be introduced by the Bombay Stock Exchange Ltd, and in pursuance of the same do open a trading account with B. D. SHROFF SECURITIES PVT. LTD., MUMBAI a Member of the Sombay Stock Exchange Ltd, and in RESOLVED FURTHER THAT the Company do place orders with/give instructions to B.D.SHROFF SECURITIES PVT LTD., for buying and selling in the cash segment of the Bombay Stock Exchange Ltd.  RESOLVED FURTHER THAT the said Trading Member be and is hereby authorised to honour instructions, oral o written, given on behalf of the Company by anyone of the under noted authorised signatories whose specimes signatures are appended here under:  No. Name of Authorised Person Specimen Signature  Be and are hereby authorised severally to  1) Sell, purchase, transfer, negotiate documents and/or otherwise deal through B.D.SHROFF SECURITIES PVT. LTD MUMBAI on behalf of the Company  2) Sign, execute and submit such applications, undertakings and other requisite documents, writing and deeds a may be deemed necessary or expedient to open an account and give effect to this resolution.  RESOLVED FURTHER THAT has 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 furnished to B.D.SHROFF SECURITIES PVT. LTD.  RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by anyone of the Directors of the Company be furnished to B.D.SHROFF SECURITIES PVT. LTD., and such other parties as maybe required from time to time.  Por	DIRECTORS OF		HELD
Retail Debt Segment or any other segment that may be introduced by the Bombay Stock Exchange Ltd, and in pursuance of the same do open a trading account with B.D.SHROFF SECURITIES PVT. LTD., MUMBAI a Member of the Bombay Stock Exchange Ltd, RESOLVED FURTHER THAT the Company do place orders with/give instructions to B.D.SHROFF SECURITIES PVT. LTD., for buying and selling in the cash segment of the Bombay Stock Exchange Ltd. RESOLVED FURTHER THAT the said Trading Member be and is hereby authorised to honour instructions, oral owritten, given on behalf of the Company by anyone of the under noted authorised signatories whose specimes signatures are appended here under:    No.	ONOF	,20	AT
RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by anyone of the Directors of the Company be furnished to B.D.SHROFF SECURITIES PVT. LTD., and such other parties as maybe required from time to time.  For	"RESOLVED THAT the Company is empowered to deal on the Capital Mark, Retail Debt Segment or any other segment that may be introduced by pursuance of the same do open a trading account with B.D.SHROFF SECUTION the Bombay Stock Exchange Ltd, RESOLVED FURTHER THAT the Company do place orders with/give instance. It is to buying and selling in the cash segment of the Bombay Stock Excress RESOLVED FURTHER THAT the said Trading Member be and is hereby a written, given on behalf of the Company by anyone of the under noted signatures are appended here under:  No. Name of Authorised Person  Be and are hereby authorised severally to  1) Sell, purchase, transfer, negotiate documents and /or otherwise deal to MUMBAI on behalf of the Company  2) Sign, execute and submit such applications, undertakings and other remay be deemed necessary or expedient to open an account and give RESOLVED FURTHER THAT the above resolution shall remain effective and cancelling or amending the same is passed by the Board of Directors of the same is passed by	et Segment, Futures at the Bombay Stock I JRITIES PVT. LTD., MI cructions to B.D.SHRO change Ltd. uthorised to honour I authorised signator Specimen Signature hrough B.D.SHROFF Sequisite documents, effect to this resolut in force till such time	and Options Segment Exchange Ltd, and in UMBAI a Member of OFF SECURITIES PVT instructions, oral orales whose specimen e
ON THE LETTER HEAD OF COMPANY: (Ready format)  SHARE HOLDING PATTERN  Name of shareholders holding more than 5% of the Share Capital of the Company % of holding  (Attach separate Sheet)	RESOLVED FURTHER THAT a copy of the above resolution duly certified Company be furnished to B.D.SHROFF SECURITIES PVT. LTD., and such of	ther parties as maybe	e required from time
(Ready format)  SHARE HOLDING PATTERN  Name of shareholders holding more than 5% of the Share Capital of the Company % of holding  (Attach separate Sheet)		// Director ————————————————————————————————————	Auth. Signatory - — — — — — — —
Name of shareholders holding more than 5% of the Share Capital of the Company % of holding  (Attach separate Sheet)		ANY:	
(Attach separate Sheet)	SHARE HOLDING PATTERN		
	Name of shareholders holding more than 5% of the Share Capital of the Con	npany	% of holding
Signature of the Client (Signature of Director/Authorised Signatory Trustee with Company Stamp/Trustees Stamp)	For Company name Signature of the Client	 amp/Trustees Stamr	o)

## Family Declaration - Email/ Mobile Updation in Family Codes VOL

VOLUNTARY

(Compulsory in case having common email & mobile in more than one account in B. D. Shroff Securities Pvt. Ltd.)

	se, 1st Fl bai - 400	RITIES PVT. LTD. oor, 51 M.G.Road, 001.					Date:	
Subject: Fa	mily De	claration for regist	tering common Mo	obile / Email	details			
I request yo opened wit		ister the following	mobile number an	ıd/or email id	in my d	lemat and/	or tradii	ng account(s) to be
in your reco Depositorie Ltd This facility a single mo	mily mer ords for t es with r shall be bile num	he purpose of rece egard to trading/o provided to me/us ber and e-mail id.	iving communications demat transactions s as an additional,	on from B. D. S s executed by for my/our co nat this facility	Shroff S y me/us onvenie y is avai	ecurities Poss through I nce of rece led only by	vt. Ltd. o 3. D. Sh iving tra the fam	shall be considered or Stock Exchanges/roff Securities Pvt. ansaction details at ily memberswhere delines).
Sr. No.		Client Name		Trading Code		tionship		Signature
1.						Self		0
2.						endent		
3.					Parent Dep	: - Mother endent		
						t - Father		
4.						oouse endent		
5.					Da	ughter		
6.						endent Son		
7.								
8.								
Thanking Yo	ou,		1					
Signature o	of Client:		essment of Clie		of PM	LA 2002		
						CSC		PEP
Type of 0	Client	High Risk	Low Risk	Medium	Risk	(Client Sp Catego		(Politically Exposed Person)
at the time	of acco	unt opening						
-		ــــ ient would be chai SHROFF SECURITIE	•	s change base	ed on ri	sk assessm	ent of t	he client during his
For B. D. SH	HROFF S	ECURITIES PVT. LT	D.					
Director/Au	uthorise	d Signatory	2	<b>1</b> 1				

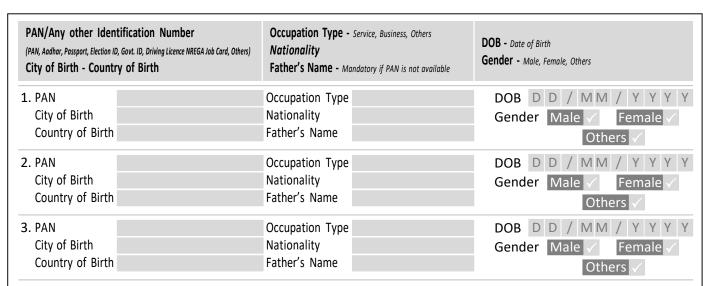
	FATCA/CRS DETAILS	
Clion		
	t Code Date:	
Sr. No		
1	Are You a Tax Resident of Country other than India?	☐ Yes ☐ No
2	Is your Country of Birth/Citizenship other than India?	Yes No
3	Is your Residence address/Mailing address other than in India?	☐ Yes ☐ No
4	Is the POA holder/person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above?	☐ Yes ☐ No
If you	have answered YES to any of above, please provide the below details	
Sr. No	. Details	
1	Country of Residence	
2	Nationality	
3	Tax Identification No. or Reason for not providing TIN	
4	Identification Type (TIN or Other, please specify)	
5	Residence address for tax purposes (include City, State, Country & Pin code)	
6	Address Type	
7	City of birth	
8	Country of birth	
Instru I/We the sa I/We	ication: I/We have understood the information requirements of this Form (read along we ctions), and hereby certify that the information provided by me/us on this Form is true, correlated confirm that I/We have read and understood the FATCA/CRS Terms and Conditions me.  agree to indemnify B. D. SHROFF SECURITIES PVT. LTD. in respect of any false, misleadicated information regarding my/our "U.S. person" status for U.S. federal income tax purp	rect, and complete. and hereby accept ng, inaccurate and
	other information as may be required under applicable tax laws.	oses. or in respect
	Applicant / Guardian Applicant	
Nar	me	
Signa	ture 🖙	
PA	N	
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## **FATCA-CRS Instruction**

Details under FATCA/CRS/Foreign Tax Laws: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules 1962, which Rules require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In certain circumstances (including if we do not receive a valid self -certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

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*Name of the entity																		
Type of address given at KYC KRA							eside						ness			Reg		
Address of tax residence would be taken a	as availal	ole in KF	RA dat	tabase.	In ca	se of a	ny ch	hang	ge, p	leas	se ap	pro	ach I	(RA 8	k no	tify t	the c	hange
Customer ID/Folio Number																		
PAN					Date	of Ir	cor	por	atio	on [	D	D	/	/I M	/	Υ	Υ	YY
City of incorporation																		
Country of incorporation																		
Entity Constitution Type Please tick as appropriate  □ Societ □ Aritific	ty 🗖 Ad	op/Boi	Soci	ety 🗖	<b>l</b> Tru	ıst H	Liq	uid		•								-
Please tick the applicable tax res	ident d	eclara	tion			Yes			No									
<ol> <li>Is Entity* a tax resident of any c</li> </ol>	ountry	other	India	١.		Yes			No	)								
(If yes, please provide country/ies in w	hich the	entity	is a r	esident	t for	tax p	urpo	ses	and	the	ass	oci	ated	Tax I	ID r	numb	oer l	pelow.
Country	Та	x iden	tifica	ation I	Nun	nber#				(T			ntifi Othe					ify)
# In case Tax identification Numl In case TIN or its functional equ Global Entity Identification Num In case the Entity's Country of In	ivalent ber or ( ncorpor	is not GIIN, e	ava etc.	ilable,	, ple	ase p	rov	ide	Co	mp	any	ld	enti	ficat	ior			
In case TIN or its functional equ Global Entity Identification Num	ivalent ber or ( ncorpor	is not GIIN, e	ava etc.	ilable,	, ple	ase p	rov	ide	Co	mp	any	ld	enti	ficat	ior			
In case TIN or its functional equipment Global Entity Identification Num  In case the Entity's Country of Ir	ivalent ber or ( ncorpor e here	is not GIIN, e ation/ FATO	ava etc. Tax	reside	nce	is U.	S. bu	ide ut e	Co	mp ty i	any s no	ld ot a	enti	ficat	ed	U.S.	. Pe	
In case TIN or its functional equ Global Entity Identification Num In case the Entity's Country of Ir mention Entity's exemption code	ivalent ber or ( ncorpor e here	is not GIIN, e ation/ FATO tax ad	: ava etc. Tax	reside CRS D	nce	is U. aratio	S. bu	ide ut e	Co	mp ty i	any s no	ld ot a	enti	ficat	ed	U.S.	. Pe	
In case TIN or its functional equical Global Entity Identification Num  In case the Entity's Country of Immention Entity's exemption code  (Please consult your profession)	ivalent ber or ( ncorpor e here ssional	is not GIIN, e ation/ FATO tax ad	: ava etc. Tax	reside CRS D	nce	is U. aratio	S. bu	ide ut e	Co	mp ty i	any s no	ld ot a	enti	ficat	ed	U.S.	. Pe	
In case TIN or its functional equication of the Global Entity Identification Num  In case the Entity's Country of Immention Entity's exemption code  (Please consult your professor)  PART A (to be filled by Financial	ssional Institut	is not GIIN, e ation/ FATO tax ad ions or e: If you use proport	: ava etc.  Tax  Tax  CA &  visor  Dire  ou de  ovide	reside CRS D	ence	is U.  araticer gui  ing N  e a G  sor's	S. bu	ut e	enti	ty i	s no	Id	enti	ed by	ed fice	u.s.	n)	rson,
In case TIN or its functional equipment of Incase the Entity's Country of Immention Entity's exemption code  (Please consult your professor)  PART A (to be filled by Financial  1. We are a, Financial institution or Direct reporting NFE (please tick as appropriate)	ivalent ber or o ncorpor e here  ssional Institut Not pled beld Nar	is not GIIN, e ation/  FATO tax ad ions or e: If yourse proportion me of s	: ava :tc.  Tax  Tax  CA &  visor  Director de  cou de	reside  CRS D  for fu  ect Rep  no not I  your s	peclarithe port	is U.  araticer gui  ing N  asor's	S. bu	ut e	enti	ty i	s no	Id	enti	ed by	ed fice	u.s.	n)	rson,
In case TIN or its functional equinocolor Global Entity Identification Num  In case the Entity's Country of Immention Entity's exemption code  (Please consult your professor)  PART A (to be filled by Financial  1. We are a, Financial institution or Direct reporting NFE	ssional Institut Not pled belo Nar	is not GIIN, e ation/  FATO tax ad ions or e: If your see propy me of see propy application,	: ava :tc.  'Tax  'CA &   visor  Dire  ou do  vide  spon:	reside  CRS D for fur ect Rep no not I your s soring	peclarithe port	is U.  aratic er gui ing N e a G esor's eity ed for	S. bu	ut e	enti  you  lea	ty i	s no	id ot a	enti	ed by	ed fice	u.s.	. Pe	entity

1.	Is the Entity a publicly traded com is, a company whose shares are traded on a established securities	regurlarly									
2.	Is the Entity a related entity of traded company (a company wh are regurlarly traded on an e securities market)	ose shares	exchange on which the stock is regularly traded)								
3.	Is the Entity an active NFE		Yes (If yes, please fill to Nature of Business Please specify the sub								
4.	Is the Entity an passive NFE		Yes / (If yes, please fill to Nature of Business								
		UBO	Declaration								
☐ Lin	gory (Please tick applicable categor nited Liability Parnership Company blic Charitable Trust   Religi		•	tion/body of individat	uls						
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- # Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.
- \* To include US, where controlling person is a US citizen or green card holder
- " In case Tax Identification Number is not available, kindly provide functional equivalent.

## **FATCA & CRS** Terms and Conditions

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

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

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

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

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

### Certification

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

Name															
Designation															
										Ρl	ace	e: _	 	 	
<b>F</b>	Signature									D	ate	:			

## Annexure-A Investor Charter – Stock Brokers

#### VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

#### MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.

### **Services provided to Investors**

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client's funds.
- Intimation of securities held in Client Unpaid Securities Account (CUSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor's grievances.

#### **Rights of Investors**

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive complete information about the risks, obligations, and costs of any investment before investing.
- Receive recommendations consistent with your financial needs and investment objectives.
- Receive a copy of all completed account forms and agreements.
- Receive account statements that are accurate and understandable.
- Understand the terms and conditions of transactions you undertake.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.
- Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

### **Various activities of Stock Brokers with timelines**

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	30 days / 90 days for running account settlement (RAS) as per the preference of client.  If consent not given for RAS – within 24 hours of pay-out
10.	'Statement of Accounts' for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)

S.No.	Activities	Expected Timelines
11.	Issuance of retention statement of funds/	5 days from the date of settlement
	commodities	
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	30 days from the receipt of the complaint

## **DOs and DON'Ts for Investors**

	DOS UNA DON		3 101 1114631013	
	DOs		DON'Ts	
1.	Read all documents and conditions being agreed	1.	Do not deal with unregistered stock broker.	
	before signing the account opening form.	2.	Do not forget to strike off blanks in your account	
2.	Receive a copy of KYC, copy of account opening		opening and KYC.	
	documents and Unique Client Code.	3.	Do not submit an incomplete account opening and	
3.	Read the product/operational framework/timelines		KYC form.	
	related to various Trading and Clearing & Settlement	4.	Do not forget to inform any change in information	
	processes.		linked to trading account and obtain confirmation	
4.	Receive all information about brokerage, fees and		of updation in the system.	
	other charges levied.	5.	Do not transfer funds, for the purposes of trading	
5.	7		to anyone other than a stock broker. No payment	
	trading, demat and bank accounts to get regular		should be made in name of employee of stock	
	alerts on your transactions.		broker.	
6.		6.	Do not ignore any emails/SMSs received with	
	However, Power of Attorney is not a mandatory		regards to trades done, from the Stock Exchange	
	requirement as per SEBI/Stock Exchanges. Before		and raise a concern, if discrepancy is observed.	
	granting Power of Attorney, carefully examine the	7.	Do not opt for digital contracts, if not familiar with	
	scope and implications of powers being granted.		computers.	
7.	Receive contract notes for trades executed, showing	8.	Do not share trading password.	
	transaction price, brokerage, GST and STT etc. as	9.	, , , , ,	
	applicable, separately, within 24 hours of execution of trades.		schemes.	
8.		10.	. Do not fall prey to fraudsters sending emails and	
0.	within 24 hours from pay-out.		SMSs luring to trade in stocks/securities promising	
۵	Verify details of trades, contract notes and		huge profits.	
5.	statement of account and approach relevant	11.	. Do not follow herd mentality for investments. Seek	
	authority for any discrepancies. Verify trade details		expert and professional advice for your investments.	
	on the Exchange websites from the trade			
	verification facility provided by the Exchanges.			
10	). Receive statement of accounts periodically. If opted			
	for running account settlement, account has to be			
	settled by the stock broker as per the option given			
	by the client (30 or 90 days).			
11	L. In case of any grievances, approach stock broker or			
	Stock Exchange or SEBI for getting the same			
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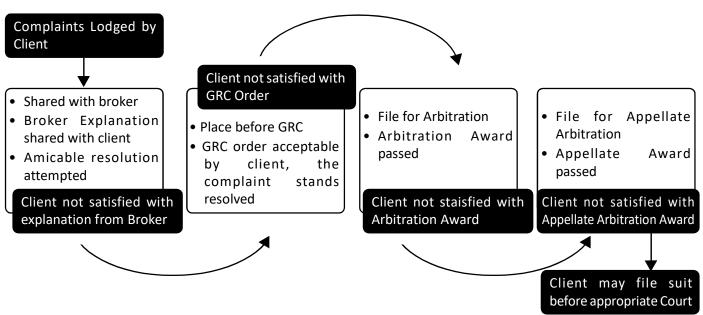
### **Grievance Redressal Mechanism**

resolved within prescribed timelines.

**Level 1** – Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance. **Level 2** – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

**Level 3** – The complaint not redressed at Stock Broker/Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ https://scores.gov.in/scores/Welcome.html

Complaints Resolution Process at Stock Exchange explained graphically:



Timelines for complaint resolution process at Stock Exchanges against stock brokers

S.No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day)
2.	Additional information sought from the investor,	C + 7 Working days.
	if any, and provisionally forwarded to stock broker.	
3.	Registration of the complaint and forwarding to	C + 8 Working Days i.e. T day.
	the stock broker.	
4.	Amicable Resolution.	T + 15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC),	T + 16 Working Days.
	in case of no amicable resolution.	
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional	T + 45 Working Days.
	information, GRC order shall be completed within.	
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor,
		debit the funds of the stock broker. Order for debit is issued
		immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC	Within 7 days from receipt of order
	order, will provide intention to avail arbitration	
10.	If intention from stock broker is received and the	Investor is eligible for interim relief from Investor Protection
	GRC order amount is upto Rs. 20 lakhs	Fund (IPF).The interim relief will be 50% of the GRC order
		amount or Rs.2 lakhs whichever is less. The same shall be
		provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC
		recommendation
12.	In case the stock broker does not file for	The GRC order amount shall be released to the investor
	arbitration within 6 months	after adjusting the amount released as interim relief, if any.

## Handling of Investor's claims/complaints in case of default of a Trading Member/Clearing Member (TM/CM) Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

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# FOR NRI/FN (FEMA DECLARATION) Declaration format for PO Box Address

VOLUNTARY

Name:
Address:
TO WHOMSOEVER IT MAY CONCERN
I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).
Further, in the process of opening my/our accounts with the Indian Bank/s, members of Indian Stock Exchange/s and Depository Participants, I/We have complied with the current laws and will continue to do so as required fo the proper maintenance of the aforesaid accounts.
In case there is any change in my/our status from Resident to Non-resident or vice versa or PO Box Address, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transition
Signature of Client:
To,  B. D. SHROFF SECURITIES PVT LTD  Mulla House, 1st Floor, 51 M.G.Road,  Fort, Mumbai - 400 001.
CLIENT CODE:
Dear Sir,
Sub: Confirmation of Receipt of Executed Documents
I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form, Rights and Obligations Risk Disclosure Document (RDD), Policies & Procedures, PMLA Policy, Insider Trading Policy and all other document as executed by me/us.
Signature of Client:
Date:

CLIENT CODE		١
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## B. D. SHROFF SECURITIES PVT LTD



MEMBER: BOMBAY STOCK EXCHANGE LIMITED CLG. NO.: 063
SEBI REGN. NO.: INZ000228735
CIN: U67120MH1997PTC112417
GSTIN: 27AAACB4504B1ZE

## **CLIENT REGISTRATION FORM**

NAME: \_\_\_\_\_

Regd. Off.: Mulla House, 1st Floor, 51 M.G.Road, Fort, Mumbai - 400 001.

Tel. No.: 22042990, 22850062, 22855782 E-Mail: bdsspl63@bdshroffspl.com Website: www.bdshroffspl.com