



Form No. _____

CLIENT REGISTRATION KIT FOR INDIVIDUAL/ HUF / CORPORATE PROPRIETORSHIP FIRM

rajgul

Leading Growth

RAJGUL SECURITIES PVT. LTD.

**MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LTD.
BOMBAY STOCK EXCHANGE LIMITED**

NSE	SEBI Regn. No.:	(CM)	INB231302739
NSE	SEBI Regn. No.:	(F&O)	INF231302739
BSE	SEBI Regn. No.:	(CM)	INB011302735
BSE	SEBI Regn. No.:	(F&O)	INF011302735
CDSL	SEBI Regn. No.:		IN-DP-CDSL-609-2011

Regd. Office : 474-475, Aggarwal Millennium Tower-II
Netaji Subhash Place, Pitampura, Delhi-110034
Phone : 91-11-47666333 • Fax : 91-11-47092805
E-mail : askus@rajgul.com • Website : www.rajgul.com

Client Name : _____ Client Code : _____

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Instructions/Check List	Instructions/Check List For Filling KYC Form	1 to 4
2.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent	5 to 10
		B. Document captures the additional information about the constituent relevant to trading account	
3.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	11 to 15
4.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	16 to 18
5.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	19
6.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	20 to 23
7.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	24

S. No.	Name of Document	Brief Significance of the Document	Page No.
NON - MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
8.	Running Account Authorisation	Authorisation to Member	25
9.	Verbal Order Acceptance Authorisation	Authorisation to Member	26
10.	Authorisation	Authorisation	26
11.	Declaration for Name Difference	Declaration	27
12.	Authorisation Letter for Adjustment of Pay-in & Pay-Out Obligations of Securities/Contracts Across Exchanges	Authorisation to Member	27
13.	Consent	Consent	28
14.	Declaration for Delivering Trade Confirmations Via SMS	Declaration	28
15.	Client Defaulter Declaration	Declaration	29
16.	Pledge Authorisation	Authorisation to Member	29
17.	Authorisation for Electronic Contract Note	Authorisation to Member	30
18.	Authorisation for Debiting Demat Account Operating Charges	Authorisation to Member	30
19.	Adjustment of Balance in Family Accounts	Authorisation Letter	31
20.	Request Letter For Statements	Authorisation Letter	32
21.	Letter of Authorisation to Act Through Authorised Person	Authorisation Letter	33
22.	Power of Attorney	POA Format	34
23.	Addendum to the Client Registration Form / Key Information	Addendum to PMLA	35
24.	Declaration to be given by Partnership Firm on Letter Head of the Firm	Authorisation to Member	36
25.	Standing Instructions	Instructions	36
26.	Acknowledgement from Client	Acknowledgement	36
27.	Format of NOC Letter to be Submitted by Broker's / Exchange's Employee	Format of NOC	37
28.	Format of Board Resolution to be given by Corporate Client	Format of Board Resolution	37
29.	Declaration To Be Signed By All The Members of HUF	HUF Declaration	38

A. IMPORTANT POINTS

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

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

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

C. Proof of Address (POA)

List of documents admissible as Proof of Address:

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

Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, 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:

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

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

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

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:
 - Copy of ITR Acknowledgement
 - Copy of Annual Accounts
 - In case of salary income - Salary Slip, Copy of Form 16
 - Net worth certificate
 - Copy of demat account holding statement.
 - Bank account statement for last 6 months
 - Any other relevant documents substantiating ownership of assets.
 - Self declaration with relevant supporting documents.
 - * In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. 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.
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.

DOCUMENT REQUIRED

INDIVIDUAL

- Two Copy of PAN Card (Self Attested)
- Two Copy of Address Proof (Voter ID, Passport, Driving Licence) (Self Attested)
- Three Passport Size Photograph (Duly Sign)
- Nominee Photo (Duly sign) (Page No. 10)
- Mobile No.
- Email id
- Occupation Details
- Income Range
- ITR
- Latest Bank Statement
- Cancel Cheque, Client Master of DP
- Rs. 250/- cheque in favour Rajgul Securities Pvt. Ltd.

HUF

- Two Copy of PAN Card (HUF) (Self Attested)
- Two Copy of PAN Card (Karta) (Self Attested)
- Two Copy of Address Proof (Karta) (Voter ID, Passport, Driving Licence) (Self Attested)
- Two Copy of Latest Bank Statement (HUF) (Self Attested)
- Five Passport Size Photograph (Duly Sign)
- Mobile No.
- Email id
- Occupation Details
- Income Range
- ITR
- Cancel Cheque
- HUF Declaration (Page No. 38) / Client Master of DP
- Rs. 250/- cheque in favour Rajgul Securities Pvt. Ltd.
- HUF Stamp on all Documents

CORPORATE

- Two Copy of PAN Card of Company
- Two Copy of PAN card of All Directors
- Eight Passport Photo of Authorised Directors
- Six Passport Photo of other Directors
- Two Copy of Address Proof of all Directors (Voter ID, Passport, Driving Licence)
- Two Copy of Address Proof of Company (Bank Pass Book/Bank Statement with Bank Stamp) (Latest)
- List of all Directors with Photograph & Signature
- Board Resolution (Format on Page 37)
- List of Authorised Director with Photograph
- Balance Sheet of Company for 2 years
- Income Tax Return of Company for 2 years
- Form 32 (if any)
- Form 18 (if any)
- Certificate of Incorporation
- Memorandum & Articles of Association
- Share Holding Pattern
- Email id
- Mobile No.
- Occupation Details
- Income Status
- Cancel Cheque
- Client Master of DP
- Rs. 250/- cheque in favour Rajgul Securities Pvt. Ltd.

ALL DOCUMENT SHOULD BE DULY SIGNED & STAMPED



SEBI REGN NO.:	DATE
NSE Cash - INB231302739	31/07/2008
NSE F&O - INF231302739	07/08/2008
BSE Cash - INB011302735	27/08/2010
BSE F&O - INF011302735	27/08/2010
CDSL - IN - DP-CDSL-609-2011	09/02/2011

Regd. Office : 474-475, Aggarwal Millennium Tower-II, Netaji Subhash Place,
Pitampura, New Delhi - 110034

Phone : + 91-11-47666333 • Fax: + 91-11-47092805

E-Mail Id : askus@rajgul.com • Website: www.rajgul.com

Compliance Officer's Details

Name : Ashish Bhala

Phone No. : +91-11-47666301

E-mail Id : ashish@rajgul.com

For any grievance/dispute please contact Rajgul Securities Pvt. Ltd. at the above address or email id askus@rajgul.com and Phone No. +91-11-47666333. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-23344313
Bombay Stock Exchange Ltd.	iscdelhi@bseindia.com	011-43007413
Central Depository Service (I) Ltd.	complaints@cdslindia.com	011-43007413

KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

FOR INDIVIDUAL

Please affix
your recent
passport size
photograph and
sign across it

A. IDENTITY DETAILS

Name of the Applicant :

Father's/Spouse Name :

Gender : Male Female **Marital Status** Single Married

Date of Birth : **Nationality :**

Status : Resident Individual Non Resident Foreign National

PAN :

Unique Identification Number (UID)/ Aadhaar, if any :

Specify the proof of Identity submitted :

B. ADDRESS DETAILS

Address for :

Correspondence City/Town/Village : Pin Code :

State : Country :

Contact Details : Tel. (Office) : Tel. (Res.) : Mobile :

Fax : E-mail :

Specify the proof of address submitted for correspondence address :

Permanent Address :

(if different from above or overseas address, mandatory for Non Resident Applicant) City/Town/Village : Pin Code :

State : Country :

Specify the proof of address submitted for permanent address :

DECLARATION

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

Signature of the Applicant

Place : _____ Date : ____/____/____

FOR OFFICE USE ONLY

AMC/Intermediary Name OR Code

Rajgul Securities Pvt. Ltd.

- (Originals Verified) Self Certified Document copies received
- (Attested) True copies of documents received Main Intermediary

Documents Verification

Rajgul Securities Pvt. Ltd.

Staff Name: _____

Designation: _____

Signature : _____

Date : ____/____/____

Inperson Verification

Rajgul Securities Pvt. Ltd.

Staff Name: _____

Designation: _____

Signature : _____

Date : ____/____/____

Details of Promoters/Partners/Karta/Trustees & Whole Time Directors forming a part of Know Your Client (KYC) Application form for Non-Individuals

Name of Applicant _____ Pan of Applicant _____

Name (1) :

PAN : DIN / UID :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

Relationship with Applicant (i.e. promoters / whole time directors etc.)

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

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Name (2) :

PAN : DIN / UID :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

Relationship with Applicant (i.e. promoters / whole time directors etc.)

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

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Name (3) :

PAN : DIN / UID :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

Relationship with Applicant (i.e. promoters / whole time directors etc.)

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

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Name (4) :

PAN : DIN / UID :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

Relationship with Applicant (i.e. promoters / whole time directors etc.)

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

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Place : _____

Date : ____ / ____ / ____

Signature of the Authorised Signatory(ies)



E. PAST ACTIONS

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

1.
2.
3.

F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If Client is dealing through the sub-broker, provide the following details:

Sub-broker's Name : SEBI Regn.:.....

Registered Office Address :

City/Town/Village :Pin Code :

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State : Country :

Phone No. : Fax : Website :

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker :

Name of Sub-broker (if any) :

Registered Office Address :

.....Pin Code :

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Client Code :

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 Exchange :

Details of disputes/dues pending from/to such stock broker/sub-broker :

G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Physical Contract Note Electronic Contract Note

- I/We will to avail facility provided by the Exchange SMS Alert E-mail Alert Both

In case of ECN / E-mail Alert Pls. Specify your Email id

In case of SMS Alert Pls. Specify your Mobile No.

- Whether you wish to avail of the facility of internet trading/ wireless technology Yes No (please specify

- Number of years of Investment/Trading Experience Years

- Any other information :

H. INTRODUCER DETAILS (Optional)

Name of the Introducer :

Status of the Introducer : Sub-broker Remisier Authorized Person Existing Client
 Others, please specify.....

Address of Introducer :

City/Town/Village :Pin Code :

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State : Country :

Phone No. :

Signature of Introducer :

H. NOMINATION DETAILS (for Individuals only)

I/We wish to nominate

I/We do not wish to nominate

Name of the Nominee :

Relationship with the Nominee :

PAN of Nominee :

Date of Birth of Nominee : / /

Phone No. of Nominee :

Address of Nominee :

City/Town/Village : Pin Code :

State :

Country :

Signature of Nominee

Photograph of Nominee

Signature of Nominee across photograph

If Nominee is a minor, details of guardian :

Name of Guardian :

Phone No :

Address of Guardian :

City/Town/Village : Pin Code :

State :

Country :

Signature of Guardian

Photograph of Guardian (in case of minor)

Signature of Guardian across photograph

WITNESSES (Only applicable in case the account holder has made nomination)

1st Witness

Name :

Signature :

Address :

..... Pin Code :

2nd Witness

Name :

Signature :

Address :

..... Pin Code :

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I/We declare that "Rajgul Securities Pvt. Ltd." the brokers, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

Signature of Client / (all) Authorised Signatory (ies)



Place :

Date : : ____ / ____ / ____

FOR OFFICE USE ONLY

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

Signature of the Authorised Signatory _____ Date ____ / ____ / ____

As prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening

form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.

10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

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

any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents

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

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the

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

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges *where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.*

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

Additionally, the clauses mentioned herein shall also be applicable.)

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

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.

BEFORE YOU BEGIN TO TRADE

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

The Board of Directors of Rajgul Securities Pvt. Ltd. (Rajgul) have adopted the following Internal Policies & Procedures in terms of SEBI Circular: MIRSD/SE/Cir-19/2009 dated 03.12.2009 forming integral part of the Member Constituent agreement in their meeting held on 29/03/2010. at the registered office of the Company.

I Refusal of Orders for Penny Stocks:

Generally, Rajgul alerts clients to desist from trading in any penny stocks in view of the associated risk element while dealing in such stocks. Further, the client is also required to adhere to Exchange/ Members' guidelines and due diligence while trading in such stocks. Also SEBI / Exchange from time to time issues directives necessitating additional due diligence for dealing in such stock(s).

We at our sole discretion, may impose certain restrictions and/ or conditions (on case to case basis), subject to rules, regulations, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances and risk policies at a related point in time. These restrictions/ conditions include but are not limited to the following -

1. restrict wholly or partly for trading in certain security/ies or category of security/ies contracts viz
 - i. illiquid stocks / stocks having low liquidity,
 - ii. illiquid options /far month options / long dated options,
 - iii. writing of options,
 - iv. securities listed in Z,T, TS, S,B group or 6 Lakh series available for institutional category on BSE and/or securities listed in BE, IL, BT or EQ series on NSE,
 - v. any other securities/ contracts which as per the perception of Rajgul are volatile or subject to market manipulation or has concentration risk at client level or at the company level,
- 2 Accept or partially accept an order for buy and/or sell. Such acceptance may require execution in a controlled environment (for e.g. from centralised desk instead of from designated dealing area or online platform),
- 3 Cancel orders in above securities contracts received from clients before execution or after partial execution without assigning any reasons thereof
- 4 Require the client to provide appropriate declarations before/ after accepting such orders.

Rajgul shall -

- Not be responsible for non-execution / delay in execution of such orders and consequential opportunity loss or financial loss to the client,
- Have the discretion to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities / contracts through Rajgul itself,
- Have the right to revise the list of such securities / contracts on a periodic basis.

Client can obtain the information about the updated list of securities from the Relationship Manager / Dealing Branch office / Sub Broker.

II Setting up Client's Exposure Limits:

Rajgul may from time to time impose and vary limits on the orders that the client can place through the trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees

that the Rajgul may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/market level limits in security specific / volume specific exposures etc.), and the Rajgul may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the Rajgul shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Rajgul's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the Rajgul may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place notice, prohibit or restrict the client's ability to place orders to trade in securities through the Rajgul, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute /allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker/ exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The Rajgul is required only to communicate/advise the parameters for the calculation of the margin / security requirements as rate(s) / percentage(s) of the dealings, through any one or more means or methods such as post / speed post / courier / registered post / registered A.D / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of Rajgul; by publishing / displaying it on the website of the Rajgul/ making it available as a download from the website of Rajgul; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail / voice mail service provider, etc. by the Rajgul and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / security requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security) on his / her / its own and provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the Rajgul to the client and / or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her / its orders / trades / deals and to ensure that the required margin / security is made available to the Rajgul in

such form and manner as may be required by Rajgul. If the client's order is executed despite a shortfall in the available margin, the client, shall whether or not the Rajgul intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he / she/ it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss / damage arising out of the non availability / shortage of margin / security required by the stock broker & / or exchange & / or SEBI.

The Rajgul is entitled to vary the form (the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or security required to be deposited / made available, form time to time.

The margin / security deposited by the client with Rajgul are not eligible for any interest.

Rajgul is entitled to include / appropriate any / all pay out of funds & / or security towards margin / security without requiring specific authorizations for each pay out.

Rajgul is entitled to transfer funds &/ or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the Rajgul. The client also agrees and authorises the Rajgul to treat / adjust his /her / its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.

Rajgul is entitled to disable / freeze the account & / or trading facility / any other service facility, if, in the opinion of Rajgul, the client has committed a crime /fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulation, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

III Applicable Brokerage Rate:

Rajgul follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulation of the exchange/ SEBI. Total Brokerage including other charges and excluding statutory levies will not exceed the 2.5% limit.

Rajgul is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

(a) **For Cash Market Segment:** The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange 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 in Rs. 10/- or less, a maximum brokerage of 25 paise per share may be collected.

(b) **For Option Contracts:** Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

Rajgul may charge a brokerage for all trades facilitated on BSE, NSE or any other recognised exchange of which Rajgul is a Member. Brokerage rate may vary from client to client, as per the terms agreed with the client at the time of registration or by way of any subsequent written agreement between the

client and Rajgul.

The slab rates of brokerage fixed by Rajgul may be function of the quality and cost of services provided to the client and the volume and revenue expected from a relationship. It shall be reviewed by Rajgul from time to time and may be changed in such manner as Rajgul may deem fit provided that the same would not contradict the regulatory provisions.

The brokerage shall however be exclusive of the following:

- Service Tax and Education Cess,
- SEBI/ Exchange/ Clearing member charges
- Stamp duty
- Statutory charges payable to Exchange/ SEBI/ Govt. Authorities etc.,
- DP Annual maintenance charges
- DP transaction charges / Pledge / Unpledge / Demat / Remat charges
- DP Inter settlement charges
- Account Opening charges
- Bank charges towards the cheques received unpaid
- Charges towards customized/ specialized service

IV Imposition of Penalty/Delayed Payment Charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Delayed payment charges / margin shortage charges:

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the margin by scheduled date. In case client fails to settle the dues in time, Rajgul shall reserve the right to-

- levy delayed payment charges, not exceeding 2% per month, or such other rate as may be determined by the Rajgul from time to time, on account of delays/failure by the client in meeting the pay-in / margin obligations /mark-to-market obligation on the scheduled date till the date of payment in Cash and/or F&O segment,
- levy a charge for disproportionate cash versus collaterals ratio prescribed by the Exchanges for deposit of margins in F&O,
- not consider any credit balance in other family or group account of the client while computing delayed payment charges on the debit balance in the running account of a client.
- impose fines/penalties for an orders/trades/deals/actions of the client which are contrary to this agreement/ rules/ regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit

The above levy is only a penal measure in case of a client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.

Penalties levied by Exchanges:

Exchanges / Clearing Corporation/ SEBI levy penalties on the member broker for irregularities observed by them during course of its dealing with Members. Rajgul shall recover such imposed penalties / levies, by the Exchange / regulators, from the client which arises on account of dealing by such client. The illustrative list of reasons to levy penalty include but are not limited to –

- auction resulting from short deliveries,
- non adherence to client-wise exposure limits in Cash and

F&O segment,

- client-wise shortfall in F&O margin,
- any other reasons which may be specified by the Exchange / Clearing Corporation SEBI from time to time Interest Free Deposits:

Rajgul provides exposure against the upfront margin received in the form of cash / collateral from the client and the client also has the prerogative to demand withdrawal of cash or collaterals at his discretion, subject to surplus margin in place. Rajgul shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with Rajgul except for the corporate benefit received on such collateral securities, if any.

V. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of nonpayment of client's dues (This shall be limited to the extent of settlement/margin obligation)

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the required margin by scheduled date. The client agrees and confirms that in case of any delay (beyond permissible time limit as per SEBI or Exchange's rules, regulations, byelaws, circulars and other applicable laws/ provisions) in making the payment, Rajgul shall have the right to sell client's security(ies)/ positions/ contracts, both unpaid securities as well as collaterals deposited towards margins or securities previously purchased by the client or close out client's open positions / contracts or offset credit balance in other segment / exchange against client's obligation / debit balances / liabilities, without giving any notice to the client, as per prevalent risk policy from time to time, in circumstances including but not limited to the following -

- where intra-day position, if any, not liquidated before prescribed time or placing of fresh intra-day order after a cut-off time fixed by Rajgul,
- where client is not having adequate margins, as per conditions specified in Exposure Limit section or on account of removal of a security from approved list of collateral and client's failure to top-up further margins,
- where client delays fails to meet the pay in obligation mark to market MTM dues clearance of debit balances dues by scheduled date or realisation proceeds of the cheque s deposited by the client to meet obligation is not received
- cheque bouncing / not honoring sale obligation by delivering shares in time or due to any reason delays or fails in clearing outstanding dues to Rajgul,
- volume in excess of permissible internal limit cap in illiquid / penny stocks / long dated options / far month options or excessive speculative trading,
- scrip is moved in BANlist (due to breach of exchange limit defined for market wide position limit / trading member wide position limit / client wide limit in F&O segment, etc.),
- irregularities in dealing and other surveillance / anti money laundering (AML) related observations,
- client categorized as ineligible due to non-traceable, disputes, possible default by client and any other circumstances leading to raising non-confidence in client,
- disputed delivery/ trading position,
- any direction from SEBI/ Exchange or such other regulatory/ statutory authorities,
- under such other circumstances as Rajgul might think just and proper on case to case basis.
- In event of death or insolvency of the client

Such liquidation may be in full or partial to the extent of shortfall / debit and securities / position / contracts selection would be at the discretion of Rajgul. While selling the securities/ closing the clients positions / contracts, Rajgul may take into account the positions closed by the client or collections received from the client till a cut-off time. Securities previously purchased would be used for liquidation where the sale proceeds of unpaid securities are inadequate to cover the pay-in obligations and/or where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required.

In event of death or insolvency of the client, Rajgul may close out all outstanding positions of the client, adjusting the loss incurred on such closures with the margin deposited by the client and claim further shortfalls, if any, against the estate of the client. The successors or heirs of the client shall be entitled to any surpluses which may result there from. The above action is at the sole discretion of Rajgul and may vary from client to client. It shall not be under any obligations to undertake the exercise compulsorily. Rajgul shall therefore not be under any obligation to compensate or provide reasons of any omission or delay on its part to sell client's securities or close open positions of the client.

Rajgul shall have the right to sell client's securities or close out client's open positions / contracts but it shall not be under any obligation to undertake this exercise compulsorily and therefore shall not be under any obligation to compensate/ or provide reasons for any delay or omission on its part to sell client's securities or close open positions / contracts of the client and client shall be solely responsible for the loss incurred on such liquidation.

VI. Shortages in obligations arising out of internal netting of trades

Policy for settling shortage in obligation arising out of internal netting of trades is as under:

- The securities delivered short are purchased from the market on T+2 day and the purchase consideration (including all statutory taxes & levies) along with a penalty is debited to the short delivering seller client. In case the shares are not available for purchase for any reason then the shortage will be closed out as per the prevailing rules of the respective exchanges.

Rajgul shall not be responsible for losses to the Client on account of such square off. All losses to the client on this account shall be borne solely by the client and the Client shall indemnify Rajgul in this respect.

VII CONDITIONS UNDER WHICH CLIENT IS NOT ALLOWED TO TAKE FURTHER POSITIONS OR BROKER MAY CLOSE EXISTING POSITIONS

Rajgul Securities limited shall have the right to refuse to execute trades/allow the client to take further positions in the following circumstances:

1. Technical Failure
2. securities breaching the limits specified by the Exchanges/ regulators from time to time
3. securities submitted in physical form for settlement
4. regulatory restrictions/directives
5. Client unable to meet his pay-in obligation as per exchange requirement irrespective of the value of collaterals available.
6. Long pending debit balance in the client's account
7. Margin shortfall not compensated by the client
8. Dishonor of Chèque
9. Client dealing in "illiquid" stock as declared by Rajgul
10. Transactions which may appear to be suspicious in

nature

- 11. on the happening of an event, Rajgul has a risk perception that further trading in the contracts/ securities may not be in the interest of the clients and /or the market. Rajgul shall also have a right to close existing positions of the clients in the above mentioned circumstances. Rajgul shall not be responsible for any loss incurred and the client shall indemnify Rajgul in this regard.

VIII TEMPORARILY SUSPENDING OR CLOSING OF CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST

The client is required to submit written request for closure of account or for temporary suspension of account clearly stating period of suspension, to the nearest branch office, sub-broker office or central processing cell at the registered office of the Member. Upon receipt of request and after satisfying itself with respect to all information/ documentation and settlement of client dues, the Member shall act upon the request within reasonable time but not later than 30 days from the date of request.

The account shall be reactivated only on submission of a written request for reactivation by the client

Rajgul may at any time, at its sole discretion and without prior notice to the CLIENT, prohibit or restrict or block the CLIENT's access to the use of the web site or related services and the CLIENT's ability to trade due to regulatory requirements, prevention of money laundering, market conditions and other internal policies.

IX Suspension of trading account and Deregistering the client

Suspension of trading account

Rajgul may carry a periodic review of the client accounts and may, at its discretion, suspend the client's accounts from trading in the following circumstances:

- where the client's status is dormant or inactive during last 12 months from the date of last transaction
- where the client has not cleared the naked or uncovered debits in prescribed time,
- default by the client in honouring its settlement / margin obligation including cheque bouncing / auction of shares,
- irregular trading pattern from surveillance /AML perspective,
- where Rajgul is unable to transfer the shares to the default demat account provided by the client till the client submits the revised demat account details along with proof
- where the client is categorized as ineligible due to being non-traceable, pending disputes complaints possible default by client and any other circumstances leading to raising non confidence in client including return of undelivered couriers citing reason of no such person / addressee left /refusal to accept mails / POD s signed by the third persons etc. or Digital Contract Notes (DCN) failed (Bounced email) on more than 3 instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation of financial and other details viz email id mobile no land line details or it is found to be belonging to a

third person,

- If the action of the Client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- where the account is under investigation by any regulatory body including receipt of notice from statutory, government or local authorities including income tax, service tax, a judicial or a quasi judicial authority, or client is arrested by way of court order, police action or any other legal action,
- where a client is reported to or known to have deceased
- where client fails to provide executed or renewed mandatory documentary requirements as prescribed by Exchanges/ Regulators from time to time and /or refusal to do the periodic submissions as required by Exchanges/Regulators,
- under such other circumstances as the Rajgul might think just and proper on case to case basis.

Deregistering a client

Rajgul may at its discretion de-register the client's account in circumstances including but not limited to the following -

- action taken by Exchanges / Regulators or being part of list of debarred entities published by SEBI,
- where the client indulge in any irregular activities not limited to synchronized trading, price manipulation, etc. resulting in violation of rules, regulations of the exchange and any other such activity
- based on information found in sites of CIBIL, Watch out investors, World check or client having suspicious back ground, link with suspicious organization etc.,
- irregular trading pattern from surveillance /AML perspective,
- where the client is categorized as ineligible due to being non-traceable, disputes, possible default by client and any other circumstances leading to raising non-confidence in client including return of undelivered couriers citing reason of no such person / addressee left /refusal to accept mails / POD s signed by the third persons etc. or Digital Contract Notes (DCN) failed (Bounced email) on more than 3 instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation of financial and other details viz email id mobile no land line details or it is found to be belonging to a third person
- right to deregister after serving a 30 days written notice without assigning any reason thereof.

In such case, Rajgul shall have the right to close out the existing positions / contracts, sell the collaterals to recover its dues, if any, before de-registering the client's account.

X Policy for Inactive Client account:

Client account will be considered as inactive if the client does not trade for period of one year.

Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive. The Client has to make written request for reactivation of their account.


Confirmation:


I, undersigned, hereby confirm that I have read all the above mentioned policies and procedures and I will abide by the same.

Thanks and regards

Client Code :
 Name :
 Address :

Signature





TARIFF CHART

CASH SEGMENT

Brokerage Slab	Slab %	Minimum Paise	One Side / Both Side
Delivery Based			
Daily Square up			

DERIVATIVES SEGMENT

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

Sole / First Holder Signature



To,

Rajgul Securities Pvt. Ltd.

474-475, Aggarwal Millennium Tower-II,

Netaji Subhash Place, Pitampura, New Delhi - 110034

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments, I / we further authorize you to follow these instruction across exchanges & across segments in which I / we have already opened accounts with you or I may open account in future. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I/We am/are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which we cannot deal/trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (register of securities) displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I/We agree that I/We will bring any discrepancy or dispute arising from the Statement of account so issued by you for the settlement made by you to your notice preferably with 7 working days from the date of receipt of funds/securities or statement as the case may be. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/ Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorisation at any time, however, such termination shall be subject to ensuring of proper physical delivery of revocation letter at your office to allow you to make necessary changes to handle my account without running account authorisation. I/We understand that this authorisation would continue until it is revoked by me/us. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies under this authorisation.

My/Our preference for actual settlement of funds and securities is at least:

 Once in a Calender Quarter


 Once in a Calender Month


Thanking you, .

Yours faithfully,

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

Signature with Name





VERBAL ORDER ACCEPTANCE AUTHORISATION

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/or Futures & Options Segments. As my / our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

I/We agree and acknowledge that it is advised by you that I/We should give instructions for order placement/ modification and cancellation in writing and to avoid disputes, I/we must give instructions in writing and take signatures of your authorised officers at the branch along with company stamp on the carbon/photocopy of the instructions in acknowledgment of receipt of my our instructions.

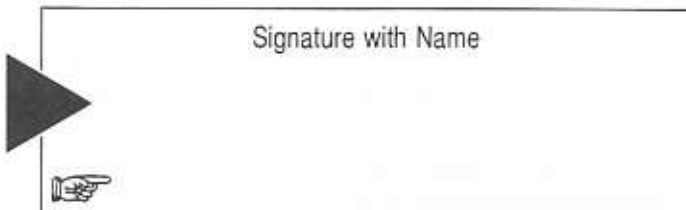
However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuation in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed time or mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you.

Yours faithfully,

Signature with Name



[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

AUTHORISATION

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034

I/We understand that in case, of my/our failure to make the funds pay in or delivery of securities for my/our deals/trading by designated day, you are entitled to sell off in the market the securities received in pay out and/or deem our position closed out at applicable rates;

or

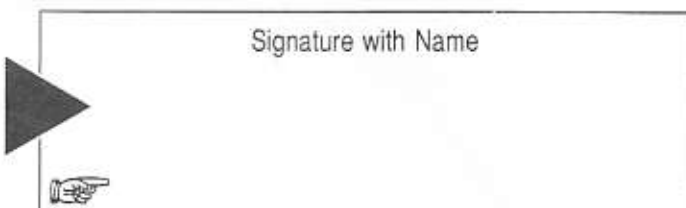
I/We do hereby request you not to carry out such sell off in the market the securities received in pay out and/or deem my/our positions closed out and I/We shall in consideration thereof shall pay the opportunity cost/interest on such non sold off securities and/or non closed out position without demur or protest at such opportunity cost and/or interest as you shall determine entirely at your discretion.

I/We do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction.

Thanking you.

Yours faithfully,

Signature with Name



[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

DECLARATION FOR NAME DIFFERENCE

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034

I, Mr. / Mrs. / Ms....., state and declare that I am also known as..... and many of my official records bear my name as I say that I desire to open a trading account with you under the name and style of....., although the documents submitted by me are bearing my name as.....

I request you therefore to open the account with your company on my aforesaid representation as per the form duly filled in by me and accept the documents furnished by me in support thereof. I agree to abide by all the terms & conditions of the company as are applicable for the opening and operation of the said account.



I state that without prejudice to the company's rights, other rights in law or under the terms & conditions or otherwise, I shall be liable to pay damages and compensation to the company, which may be incurred or suffered by the company upon the company opening the said account as requested by me relying on my aforesaid representation.

Thanking you.

Yours faithfully,

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

Signature with Name



AUTHORISATION LETTER FOR ADJUSTMENT OF PAY-IN & PAY-OUT OBLIGATIONS OF SECURITIES/CONTRACTS ACROSS EXCHANGES

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034

Dear Sir,

I/We,, an individual/a sole proprietary concern/ a partnership firm/ a body corporate/Trust, registered/ incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956 or any relevant Act, having my/our residence /registered office at (hereinafter referred to as the "Client").

That I/we, am/are a Client of Rajgul Securities Pvt. Ltd. (referred to as "Rajgul") and have completed the prescribed necessary account opening formalities with each of the aforesaid company/ies for investing/trading in securities/currency derivatives contracts admitted/ permitted for dealing on the respective Exchanges and also for investing/trading in those contracts admitted/permitted for dealing on the Derivatives/Currency Derivatives Market Segment of the respective Exchanges.

That in respect of my/our registration as client with Rajgul. I/we hereby authorize you to meet the Pay-in/Pay-out obligations arising at NSE and BSE without transferring the same to my/our demat account as and when such inter exchange obligations arise in the securities/contracts traded by me/us across Exchanges with either Rajgul.



Furthermore, the aforesaid authority conferred as above shall subsist even after the termination of the aforesaid relationship as client with Rajgul until all obligations under the said relationship as broker-client are satisfied fully by me/us.

Thanking you.

Yours faithfully,

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

Signature with Name



CONSENT

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034



Dear Sir,

I/we hereby declare that I /we know both Hindi and English language and have fully read and understood the contents of each and every clause of this KYC kit including member client agreement, Investor rights and obligations, RDD, supplementary Agreement and all other documents of the kit.

Looking for long lasting relationship.

Thanking you,
Yours faithfully,

Signature with Name



DECLARATION FOR DELIVERING TRADE CONFIRMATIONS VIA SMS

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034

Dear Sir,



I/We hereby agree and give my/our consent for sending the trade confirmations via SMS and I/We have also understood that we will not receive the telephonic trade confirmations.

For this purpose, I/We would like to confirm following details for the database maintained with you. Please update the records with the same.

Mobile :

Thanking you,
Yours faithfully,

Signature with Name



CLIENT DEFAULTER DECLARATION

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034



Dear Sir,

I,.....having PAN no..... do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.

I further declare that the above mentioned declaration/statement is true and correct.

Thanking you,
Yours faithfully,

Signature with Name



PLEDGE AUTHORISATION

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034



Dear Sir,

I/we have been / shall be dealing through you as my broker on the Capital Market and/ or Futures & Options Segments. This instruction is applicable for all the exchanges / segments in which I/ We have opted to open the account with you. As my broker i.e. agent I/ we direct and authorize you as under.

Pledge /deposit my/our securities whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any person(s) including but not limited to anyone or more bank(s) and/or stock exchange(s) and/or clearing corporation(s) / clearing house(s) or any other person. You may at your absolute discretion raise funds, obtain bank guarantee(s) and FDRs etc. against such deposit/pledge. I/ we authorise you to do in my/our name and on my/our behalf all such acts, deeds and things as may be necessary and expedient for placing pledging / depositing my/our securities with a person of your choice. If for any reason the pledgee sells / liquidates these securities I/we shall not dispute or contest the acts of pledgee in any manner what so ever. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,
Yours faithfully,

Signature with Name



AUTHORISATION FOR ELECTRONIC CONTRACT NOTE

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034

Dear Sir,

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments. As my/our broker i.e. agent I /we direct and authorize you as follows:

I/we understand that as per Rules and Regulations, every Trading Member shall issue contract note to its constituents for trades executed within 24 hour of trades executed. Whereas I/we have the option to receive the contract in physical form or electronic form. In pursuance of the same, I/we hereby opt for receipt of contract notes in electronic mode to my self generated below mentioned email id:

1.
2.


I/we agree not to hold you responsible for late/non receipt of Contract notes sent in electronic format and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit, full capacity in my email, etc.. etc. I/we agree that the log reports of your dispatching software shall be conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us ad shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever. I/we also agree that non receipt of bounced mail notification by you shall tantamount to delivery at my/our email account(s)/email id(s).

Further I/we am/are aware that I/we can also access my ECN and financials, after logging in my exclusive user name and password as allotted by you, at your website www.rajgul.com in a secured way and enable relevant access to the clients. I/we hereby agree to intimate you in writing in case I/we am/are not able to access the website.

I/we understand that I/we am/are required to intimate and communicate you in writing by way of physical letter duly signed by me/us about any change in the email id mentioned herein above, provided however that if I/we am/are an internet client the in that event the request for change in email id/account can be made my me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/we shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you, Yours faithfully,

Signature with Name



AUTHORISATION FOR DEBITING DEMAT ACCOUNT OPERATING CHARGES

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034


Dear Sir,

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options. As my Broker, i.e. agent, I/We authorize you to debit my/our account against the charges raised by you on account of Depository Services provided by you or by..... on account of Depository Services Provided by them and bill raised by them in this regard. The details of Demat account(s) are as follows:

DEPOSITORY	DEPOSITORY PARTICIPANT	BENEFICIARY ACCOUNT
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		

Thanking you, Yours faithfully,

Signature with Name



ADJUSTMENT OF BALANCE IN FAMILY ACCOUNTS

To,
Rajgul Securities Pvt. Ltd.
 474-475, Aggarwal Millennium Tower-II,
 Netaji Subhash Place, Pitampura, New Delhi - 110034

Sub.: Adjustment of balances in family accounts / associate accounts

Dear Sir,

S. No.	Client Code of Family Member/Associates	Name of Family Member/Associates	Amount (₹)	Name of Father/ Spouse	Remark
1					
2					
3					
4					
5					
6					
7					
8					

We the above mentioned family members / associate accounts have been regularly trading and investing on the stock exchange i.e. NSE, BSE. For the purpose of operation with you, we agree to be traded as family account.

We hereby authorized you to set off the outstanding of any nature whatsoever in any of the above mentioned account against credits of any nature whatsoever available or arising in any of the above account irrespective of the fact that such credits in the account may pertain to transaction in any segments of any exchange and/or against the value of cash margin or collateral provided to you by any member(s) of the family or otherwise also.

We agree to intimate you from time to time of any addition or deletions of clients to the said family. We agree that any deletion shall take effect only on completion of settlement and adjustment of balance in all the accounts of clients belonging to the family.

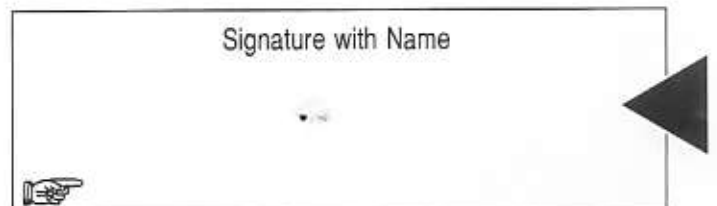
In order to facilitate operation, we authorize you to maintain a running account of settlement to settlement clearance of dues or delivery of securities and no interest shall be payable by you on the same.

Thanking you.

Yours faithfully,

Note : This is a voluntary document and the constitute need not execute such document if he/she does not wish to use the facility, but if he/she avail such facility be shall abide with the provision contained in this document.

Signature with Name



To,
Rajgul Securities Pvt. Ltd.
 474-475, Aggarwal Millennium Tower-II,
 Netaji Subhash Place, Pitampura, New Delhi - 110034

Dear Sirs,

SUB: REQUEST TO PROVIDE THE STATEMENTS THROUGH E-MAIL AND/OR WEBSITE.

Client id.: _____, E-mail id. _____

You are hereby requested to provide me/us transaction statement(s)/bills or any other document(s) required to be sent to me under my specific request or as per the statutory requirement(s) through e-mail and/or website.

I/We am/are aware and understand the following: -

1. I/We am/are aware that I/we will not receive the transaction statements/bills etc. in paper form.
2. I/We understand that website(s) would mean www.rajgul.com and or any of it's pages/links/applets or any other website that Rajgul Securities Pvt. Ltd. may inform from time to time.
3. I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the DP back office / email account.
4. I/We am/are aware that the transaction statement/bills etc. may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
5. I/We shall immediately inform Rajgul Securities Pvt. Ltd. about change in email address, if any.
6. I/we agree that till the time the change in email address is not updated in the records of Rajgul Securities Pvt. Ltd., the statements/ bills etc. sent to the original email address shall deem to be a valid delivery and I/we shall keep Rajgul Securities Pvt. Ltd. and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
7. I/We shall log off from website/DP back office/e-mail service, whenever I/we am/are not accessing or using the service. Any liability incurred to the me/ us as a consequence of the not logging off the service shall be borne solely by me/us.
8. I/we agree that Rajgul Securities Pvt. Ltd. shall not take cognizance of out-of-office/out-of-station auto replies and I/we am/are deemed to have received above referred documents. Non-receipt of bounced mail notification by Rajgul Securities Pvt. Ltd. shall amount to delivery of the above referred documents at the email id provided by me/us.
9. I/we agree that I/we shall immediately notify Rajgul Securities Pvt. Ltd. in writing with full details if I/we discover or suspect, unauthorized access through my/our DP back office password or Notice discrepancies that might be attributable to unauthorized access, Forget DP back office password or Discover a security flaw.
10. I/we understand that I/we am/are responsible for installing, operating and maintaining the communication equipment (including but not limited to personal computers and modems), software, tools, telephone or alternative service required at the my/our end and connectivity required for using and accessing the website(s), back office, email account(s), any above referred documents or any other related services at my/our own cost.
11. Rajgul Securities Pvt. Ltd. will not (and shall not be under any obligation to) assist me/us in operating, installing and / or maintaining any such communication equipment/infrastructure or obtaining any permits, clearances etc for establishing connectivity or linkages to the website(s)ofthe participant.
12. Rajgul Securities Pvt. Ltd.'s own records of the transactions/holdings/bills etc. mentioned through computer systems or otherwise shall be accepted as conclusive and binding on me/usforall purposes.
13. I/we understand and agree that the initial password sent by Rajgul Securities Pvt. Ltd. of DP back office should only be used for the first login. I/we agree to immediately reset my/our password(s) upon the first login. I/we understand and agree that If I/we do not change the password(s) after the first login, I/we shall keep the Rajgul Securities Pvt. Ltd. and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/ us on this account.
14. I/We understand and agree that the records of the Rajgul Securities Pvt. Ltd. with respect to delivery of above referred documents shall be conclusive evidence of any such documents delivered.
15. Rajgul Securities Pvt. Ltd. and I/we shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.
16. I/We shall approach Rajgul Securities Pvt. Ltd. within 24 hours from the delivery/display of the above data/documents etc. intimating any inability to access or download of the above data, document, data etc. failing which it shall be deemed to be the due delivery and acceptance of the data, document, data etc. sent to me/us via electronic mail/displayed by Rajgul Securities Pvt. Ltd./on the website of Rajgul Securities Pvt. Ltd. In all cases, Rajgul Securities Pvt. Ltd. reserves the right to determine the validity of my/our objection to the transaction.

Thanking you, Yours faithfully,

Signature with Name

LETTER OF AUTHORISATION TO ACT THROUGH AUTHORISED PERSON

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034

Dear Sirs,

SUB:- LETTER OF AUTHORISATION TO ACT THROUGH AUTHORISED PERSON


UCC: _____


I/we have been / shall be dealing through you as my/our Broker on the Capital Market(Cash) Segment and/ or Futures & Options Segment(s). As my/our Broker i. e. agent I/we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier.

I/we authorize Mr./Mrs./Ms S/o, W/o, D/o to deal/transact on my / our behalf and to place orders, give instructions through telephone/ voice mail/email/fax /letters or other modes of communication including oral communication make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my / our behalf which I/ we can do and I/ we the undersigned do hereby agree and declare and confirm that all the acts and things done by him / her or his/ her substitutes shall be my / our acts, deeds and things validly done by me / us to all intents and purposes.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my / our directions given above. I/We have signed/submitted this document at my/our own volition.

Thanking you,
Yours faithfully,

Signature with Name 



Name & Address details of my/our Authorized Person are :

Name :

Address :

.....

:

Dated :

KNOW ALL MEN BY THESE PRESENTS THAT I/WE

Name	S/o, D/o W/o	Address
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

Hereinafter referred to as "the client" wish to avail/have availed broking services offered by Rajgul Securities Pvt Ltd., (herein referred to as Rajgul, an expression deemed to mean and include its successors and assigns) a company incorporated under the Companies Act, 1956 in India and having its registered office at 474-475, Aggarwal Millennium Tower-II, Netaji Subhash Place, Pitampura, New Delhi - 110034 and are members of The National Stock Exchange of India Ltd., Bombay Stock Exchange Ltd., & Depository Participant CDSL (hereinafter referred to as "the exchange")

WHEREAS in order to participate in the broking services offered by RAJGUL and for meeting settlement obligations thereof on the exchange, I also wish to open/have opened a Depository Beneficiary account(s) with RAJGUL.

AND WHEREAS I have also opened /wish to open a trading account for availing the broking services offered by RAJGUL. **AND WHEREAS** for facilitating proper execution of all transactions undertaken by us/me through RAJGUL, I am desirous of appointing RAJGUL as my attorney to give instructions for the transfer of securities from my beneficiary account to assist RAJGUL in properly executing, settlement of all my transactions.

NOW THESE PRESENTS WITNESS that I/we in consideration of availing of the Broking Services offered by RAJGUL, do hereby nominate, Constitute and appoint RAJGUL SECURITIES PVT. LTD. (RAJGUL) ("the Attorney") to be my/our true and lawful attorney in my/our name and on my/our behalf to execute, do or any of the following acts, deeds or things mentioned hereunder:

- To operate, block and/or debit the designated Beneficiary Account(s) with the Depository Participant being RAJGUL SECURITIES PVT. LTD., as the case may be, to meet all obligations including margin obligation, in terms of the transactions undertaken by me.
- To instruct the DP to debit securities to the said BO account and/ or transfer securities from the said account to RAJGUL NSE pool account nos. 12069800 00000380 and/or to RAJGUL BSE pool account nos. 12069800 00000357, to the extent of shares sold by me/us for pay- in obligations towards any stock exchange.
- Unless specifically instructed by me/ us within the reasonable time, to apply for various products like shares & securities, Public Issues (shares as well as debentures), subscription to rights, offers of shares, tendering shares in open offers, mutual fund, redemption of Mutual Funds, etc.
- To transfer charges levied in my BO account to my trading ledger account of NSE & BSE
- To have the right to pledge the securities standing to the credit of my / our account for the purpose of raising any finance from any person as may be required to meet my / our margin obligations.
- And generally, to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all delivery of securities arising out of transactions undertaken by me/us duly and properly completed.

AND I DO HEREBY for myself, my heirs, executors and administrators agree to ratify and confirm all and Whatsoever my said Attorney shall do or purport to do or cause to be done by virtue of these presents.



IN WITNESS WHEREOF this power of attorney is hereby signed and executed by _____ On _____ day of _____ at _____

WITNESS-FOR POWER OF ATTORNEY

- | | |
|---------------------|---------------------|
| 1. Signature :..... | 2. Signature :..... |
| Name :..... | Name :..... |
| Address :..... | Address :..... |
| | |

EXECUTANT

Signature with Name & Address

- | | 2nd Holder | | 3rd Holder |
|-----------|------------|-----------|------------|
| Signature | | Signature | |
| Name | | Name | |
| Address | | Address | |
| | | | |

(Accepted by) Signature _____ (POA Holder)
 Name:.....
 Address :

• NOTARY

Signed and delivered by within named before me

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec12of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.


The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.


If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to non-compliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

Thanking you,
Yours faithfully,

Signature with Name 



-----(Please Tear Here)-----

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

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034



Dear Sir,

We refer to the trading account being opened / opened with you in the name of
.....and declare and authorise you as under.

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

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

We hereby authorize, partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with Rajgul Securities Pvt. Ltd. and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Signature	Name of Partners
	
	

STANDING INSTRUCTIONS

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034


Dear Sirs,

I/We have been / shall be dealing through you as my broker on the Capital Market and/ or Futures & Options Segments. This instructions applicable for all the exchanges / segments in which I/ We have opted to open the account with you. As my broker i.e. agent I/ we direct and authorize you to carry out trading /dealings on my/our behalf as per instructions given below. .

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.

The Client hereby authorizes COMPANY to maintain records / books of accounts for the Client collectively for different exchanges/ segments of the exchanges and / or any other service which the Client may be availing.


Thanking you, Yours faithfully,

 Signature with Name

------(Please Tear Here)-----

ACKNOWLEDGEMENT FROM CLIENT

I/Wehereby confirm that I / We have received the copy of KYC Forms, Risk Disclosure Documents, Rights and Obligation, guidance note & policies & procedures. I / We also confirm that I / We got my unique client code. Thanking You,

 Signature with Name

Date : _____ / _____ / _____

Place : _____

FORMAT OF NOC LETTER TO BE SUBMITTED BY BROKER'S / EXCHANGE'S EMPLOYEE

To,
Rajgul Securities Pvt. Ltd.
474-475, Aggarwal Millennium Tower-II,
Netaji Subhash Place, Pitampura, New Delhi - 110034


Dear Sirs,

This is to state that S/o/D/o

R/o.....

..... is employee with this company and we have no objection if the said person opens an account for trading purpose with your company.

Thanking you,
Yours faithfully,

Signature with Name


FORMAT OF BOARD RESOLUTION TO BE GIVEN BY CORPORATE CLIENT

(To be printed on letter head of company)

Certified true copy of extracts of the minutes of the meeting of the board of directors of
..... (Co. Name) convened on the (date)

"Resolved that an account for the purpose of trading in equity & derivatives segments be opened with M/s. Rajgul Securities Pvt. Ltd. Member - National Stock Exchange of India Ltd., Bombay Stock Exchange Ltd. hereinafter referred to as the Stock Broker for undertaking transactions in equity & derivatives segments on the said exchange(s).

Further Resolved that Shriand/or Shri (Designation), be and are hereby authorised severally/jointly to do all such acts, deeds, things and sign all documents papers, authorisations, declaration etc. as may be necessary for opening and operating the said trading accounts with the Stock Broker.

Further resolved that the aforementioned persons, be and are hereby authorised severally/jointly to give instructions on behalf of the Company for conducting trading in equity & derivatives for and on behalf of the Company.

Further resolved that a copy of this resolution be forwarded to the Stock Broker by Shri or Shri(Designation), & the Stock Broker be instructed to honour the instruction of Shriand / or Shri(Designation), to carry on trading in equity, derivatives & Currency Derivatives.

Certified true copy

For (Name of the Company)

Director

Date : _____/_____/_____

Place : _____

DECLARATION TO BE SIGNED BY ALL THE MEMBERS OF HUF [APPLICABLE IN CASE OF 'HUF' CLIENT]

To,
Rajgul Securities Pvt. Ltd.
 474-475, Aggarwal Millennium Tower-II,
 Netaji Subhash Place, Pitampura, New Delhi - 110034

Name of Karta :

Date of Birth of Karta :







PAN No. of Karta :

--	--	--	--	--	--	--	--	--	--

Dear Sir,

We confirm that the undersigned are all members of(HUF), and we have no objection to the Karta, Mr.operating a trading a/c / demat a/c with M/s. Rajgul Securities Pvt. Ltd.

Yours truly,

S. No.	Name of Co-parcener/Karta	Date of Birth	Relationship with Karta	Signature
1.				
2.				
3.				
4.				
5.				
6.				

raajgul

Leading Growth