



**REGD OFFICE &
DEALING OFFICE :**

717, Dalamal Tower, 7th Floor,
Free Press Journal Marg,
211, Nariman Point,
Mumbai - 400 021.
www.edgesecurities.com

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E-mail : info@edgeonline.in
Investor Grievance : grievance@edgesecurities.com
CIN : U99999MH1997PTC112117

NON-INDIVIDUAL

CLIENT REGISTRATION FORM

CLIENT CODE : _____


CLIENT NAME : M/S _____

ADDRESS : _____

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Part	Page Nos	
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES					
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist.	A	1	5
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/checklist.	A	6	10
2	Rights and Obligation	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).	A	11	16
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	A	17	20
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	A	21	22
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Name of Stock Broker / Trading Member		
SEBI Registration No. (BSE Cash)		INZ000244338 (Date: 25/03/2019) Member Code : 6186
Registered Office Address		717, Dalamal Tower, 7 th Floor, Free Press Journal Marg, 211, Nariman Point, Mumbai - 400 021 www.edgesecurities.com
Tel. N.: 022-66597500	Fax No. 022-66597575	Email: info@edgeonline.in
Correspondence Office Address		717, Dalamal Tower, 7 th Floor, Free Press Journal Marg, 211, Nariman Point, Mumbai - 400 021 www.edgesecurities.com
Tel. N.: 022-66597500	Fax No. 022-66597575	Email: info@edgeonline.in

Compliance Officer Name	Babu T. Veettil
Phone No.	91-9833686001 022-66597500
Email Id	babu@edgeonline.in

CEO / Designated Director Name	Mr. Lalit Gianchandani
Phone No.	91-9820354111 022-66597500
Email Id	lalit@edgeonline.in

For any grievance/dispute please contact us (Edge Securities Pvt. Ltd.) at the above address or email us at grievance@edgesecurities.com and Phone No. 022-66597500. In case not satisfied with the response, please contact the Investor Service Cell of Bombay Stock Exchange Ltd. at dis@bseindia.com and Tel. No. 91-22-22728517.

PART - A**MANDATORY****DOC - 1****KNOW YOUR CLIENT (KYC) APPLICATION FORM****(PLEASE FILL UP IN ENGLISH & BLOCK LETTERS)****NON-INDIVIDUAL CLIENT****Client Code**

(For office use only)

A. IDENTITY DETAILS

Name of the Applicant (Complete name as per Certificate of Incorporation / Registration)															
Date of Incorporation (DD-MM-YYYY)														Place of Incorporation	
Date of Commencement of Business															
PAN (Attach the duly attested Pan Card copy)															
Registration Number if any (e.g. CIN)															
Status (please tick any one)	Private Limited Co.			Public Limited Co.			Body Corporate								
	Partnership			Trust			Charities			NGO's					
	HUF			AOP			Bank			Government Body					
	FPI Category I			FPI Category II			BOI			Non-Government Organization					
	LLP			FPI Category III			Defense Establishment								
	Society			Others (please specify)											

B. ADDRESS DETAILS (for correspondence)

Room / Flat / House No.													
Name of Building													
Locality / Street / Road													
Location / Area													
City											Pin Code		
State / Union Territory											Country		
Telephone No. (Off)											Fax No.		
Telephone No. (Resi)											Mobile		
Email ID													
Specify the proof of Identity submitted for correspondence address													

REGISTERED ADDRESS (if different from above)

Room / Flat / House No.													
Name of Building													
Locality / Street / Road													
Location / Area													
City											Pin Code		
State / Union Territory											Country		
Telephone No. (Off)											Fax No.		
Telephone No. (Resi)											Mobile		
Email ID													
Specify the proof of Identity submitted for correspondence address													

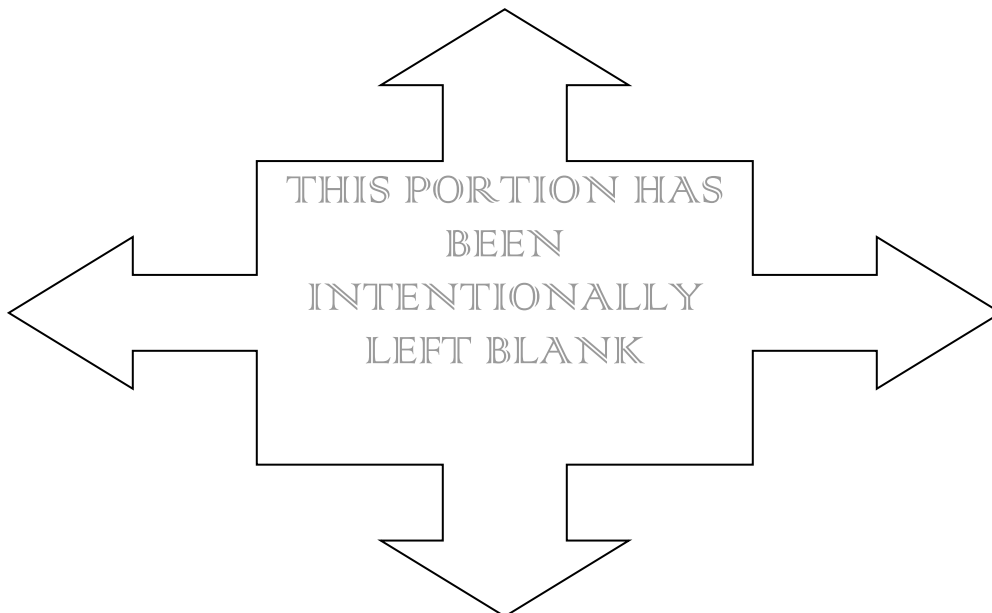
Name of Promoters / Partners / Karta / Trustees and whole Time Director													
Name													
Designation													

Affix One Latest Passport size Photograph & Sign Across the Photograph
1/24
(C)

Residential Address of Promoters / Partners / Karta / Trustees and whole Time Director													
Room / Flat / House No.													
Name of Building													
Locality / Street / Road													
Location / Area													
City										Pin Code			
State / Union Territory										Country			
Telephone No. (Off)										Fax No.			
Telephone No. (Resi)										Mobile			
Email ID													
PAN													
DIN / UID of Name of Promoters / Partners / Karta / Trustees and whole Time Director													
Relationship with Applicant (i.e. promoters, whole time directors etc.)													
Signature of Promoters / Partners / Karta / Trustees and whole Time Director	2/24 (C)												

Please tick, if applicable: (Please '√')

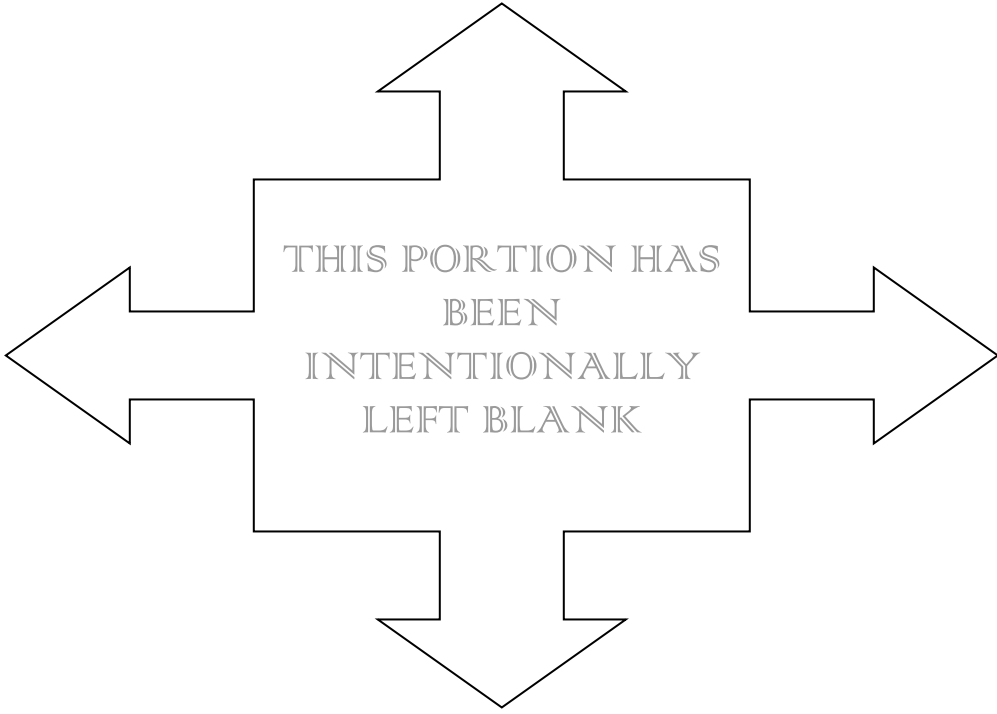
Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP) <input type="checkbox"/>	Any other Information:
---	------------------------



Name of Promoters / Partners / Karta / Trustees and whole Time Director															
Name															Affix One Latest Passport size Photograph & Sign Across the Photograph 3/24 Ⓢ
Designation															Ⓢ
Residential Address of Promoters / Partners / Karta / Trustees and whole Time Director															
Room / Flat / House No.															
Name of Building															
Locality / Street / Road															
Location / Area															
City															Pin Code
State / Union Territory															Country
Telephone No. (Off)															Fax No.
Telephone No. (Resi)															Mobile
Email ID															
PAN															
DIN / UID of Name of Promoters / Partners / Karta / Trustees and whole Time Director															
Relationship with Applicant (i.e. promoters, whole time directors etc.)															
Signature of Promoters / Partners / Karta / Trustees and whole Time Director															4/24 Ⓢ

Please tick, if applicable: (Please '√')

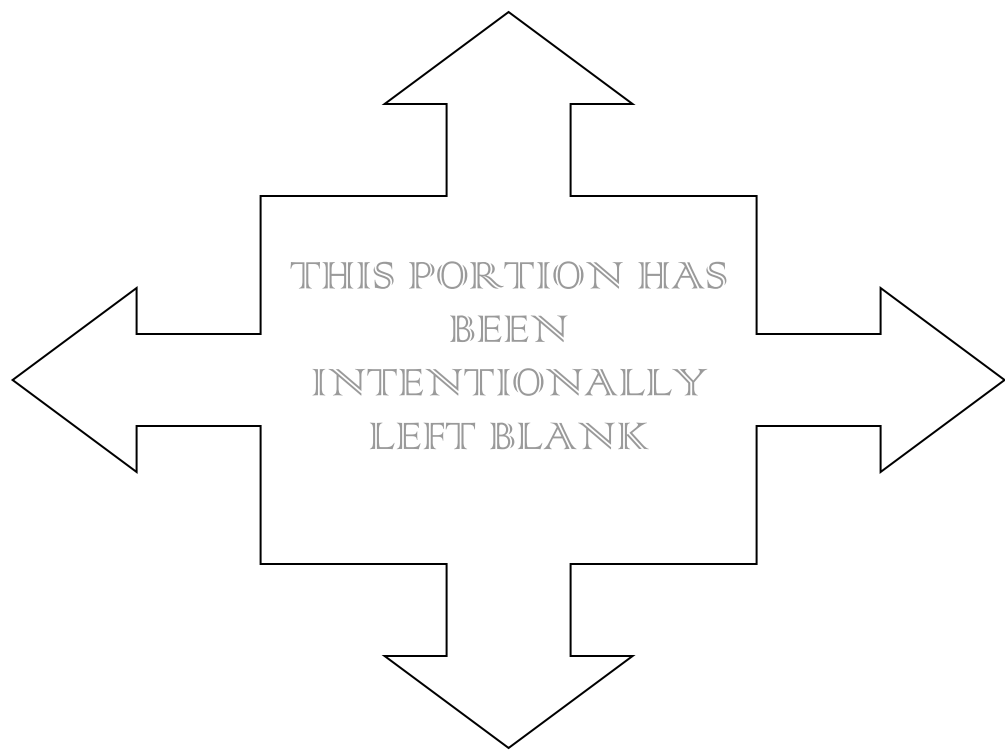
Politically Exposed Person (PEP) <input type="checkbox"/>	Any other Information:
Related to Politically Exposed Person (PEP) <input type="checkbox"/>	



Name of Promoters / Partners / Karta / Trustees and whole Time Director															Affix One Latest Passport size Photograph & Sign Across the Photograph 5/24 (C)
Name															
Designation															
Residential Address of Promoters / Partners / Karta / Trustees and whole Time Director															
Room / Flat / House No.															
Name of Building															
Locality / Street / Road															
Location / Area															
City															
State / Union Territory															
Telephone No. (Off)															
Telephone No. (Resi)															
Email ID															
PAN															
DIN / UID of Name of Promoters / Partners / Karta / Trustees and whole Time Director															
Relationship with Applicant (i.e. promoters, whole time directors etc.)															
Signature of Promoters / Partners / Karta / Trustees and whole Time Director															

Please tick, if applicable: (Please '√')

Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP) <input type="checkbox"/>	Any other Information:
---	------------------------



Name of Promoters / Partners / Karta / Trustees and whole Time Director														Affix One Latest Passport size Photograph & Sign Across the Photograph 7/24 Ⓢ
Name														
Designation														
Residential Address of Promoters / Partners / Karta / Trustees and whole Time Director														
Room / Flat / House No.														
Name of Building														
Locality / Street / Road														
Location / Area														
City										Pin Code				
State / Union Territory										Country				
Telephone No. (Off)										Fax No.				
Telephone No. (Resi)										Mobile				
Email ID														
PAN														
DIN / UID of Name of Promoters / Partners / Karta / Trustees and whole Time Director														
Relationship with Applicant (i.e. promoters, whole time directors etc.)														
Signature of Promoters / Partners / Karta / Trustees and whole Time Director										8/24 Ⓢ				

Please tick, if applicable: (Please '✓')

Politically Exposed Person (PEP) <input type="checkbox"/>	Any other Information:
Related to Politically Exposed Person (PEP) <input type="checkbox"/>	

DECLARATION

We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it.

9/24
Signature of the Applicant: Ⓢ _____
Date : _____

FOR OFFICE USE ONLY

(Originals verified) True copies of documents received	
(Self-Attested) Self Certified Documents copies received	

For Edge Securities Pvt Ltd.

Director / Authorised Signatory
Date:

Seal / Stamp of the Intermediary

TRADING ACCOUNT RELATED DETAILS
--

A. BANK ACCOUNT DETAILS *(Through which transactions will generally be routed)***(1) (This account will be the default account for payin and payout purposes)**

Name of Bank																
Branch																
Address of Bank																
Account No.																
Account Type (Please '✓')	Savings	<input type="checkbox"/>	Current	<input type="checkbox"/>	NRO	<input type="checkbox"/>	NRE	<input type="checkbox"/>	Other							
MICR Number						IFSC										

(2)

Name of Bank																
Branch																
Address of Bank																
Account No.																
Account Type (Please '✓')	Savings	<input type="checkbox"/>	Current	<input type="checkbox"/>	NRO	<input type="checkbox"/>	NRE	<input type="checkbox"/>	Other							
MICR Number						IFSC										

(3)

Name of Bank																
Branch																
Address of Bank																
Account No.																
Account Type (Please '✓')	Savings	<input type="checkbox"/>	Current	<input type="checkbox"/>	NRO	<input type="checkbox"/>	NRE	<input type="checkbox"/>	Other							
MICR Number						IFSC										

(If more than Three Bank Account the details of all such bank account have to be specified and attached on a separate sheet)

B. DEPOSITORY ACCOUNT(S) DETAILS *(Through which transactions will generally be routed)***(1) (This account will be the default account for payin and payout purposes)**

DP Name & Address																	
Client ID (CDSL) BO ID																	
Client ID (NSDL) BO ID											DP ID					I	N
Beneficiary Name																	

(2)

DP Name & Address																				
Client ID (CDSL) BO ID																				
Client ID (NSDL) BO ID																				
Beneficiary Name																				

(3)

DP Name & Address																				
Client ID (CDSL) BO ID																				
Client ID (NSDL) BO ID																				
Beneficiary Name																				

(Please submit copy of Client Master in case of more than three Demat Account, please specify & attach on a separate sheet)

C. TRADING PREFERENCE *(Please write these details in your own handwriting)*

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

Sr. No.	Exchange	Segment	Signature of Client
1	BSE	Cash	(C) 10/24
2	BSE	F & O	(C) 11/24
3	BSE	Mutual Fund	(C) 12/24

if, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter will be taken from the client by the stock broker.

D. OTHER DETAILS

Gross Annual Income Details (income range per annum) (Please '✓')

<input type="checkbox"/> Below Rs. 1 Lakh	<input type="checkbox"/> Between Rs. 5 - 10 Lakhs	<input type="checkbox"/> Between Rs. 25 - 1 Crore
<input type="checkbox"/> Between Rs. 1 Lakh - Rs. 5 Lakhs	<input type="checkbox"/> Between Rs. 10 - 25 Lakhs	<input type="checkbox"/> above Rs. Rs. 1 Core

Net-worth as on (net worth should not be older than 1 year)

Date:	Amount :
-------	----------

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 person in charge of dealing in securities during the last 3 year:

--

F. DEALING THROUGH AUTHORISED PERSONS & OTHER STOCK BROKER YES NO

(Please `√')

➤ *If client is dealing through the Authorised Person, provide the following details:*

Authorised Person Name																					
AP Registration No.																					
Reg. Office Address																					
Phone, Fax & Website																					

➤ *If client is dealing through the other stock-broker, provide the following details:*

Name of Stock Broker																					
Name of Authorised Person-if any																					
Client Code											Exchange										
Details of disputes / dues pending from / to such stock broker / Authorised Person:																					

(If registered with more than one Broker / Authorised Persons, the details of all such Brokers should be specified & attached on a separate sheet)

G. ADDITIONAL DETAILS

• Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (Please Specify)	<input type="checkbox"/> Electronic Contract Note <input type="checkbox"/> Physical
• Specify your Email id, if applicable: Primary email id	
Secondary email id	
• Whether you wish to receive Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading); Uniform Risk Disclosure Documents (for all segments/ exchanges); and Guidance Note detailing Do's and Don'ts for trading on stock exchanges through physical copies or electronically on your email id.	<input type="checkbox"/> Electronic Contract Note <input type="checkbox"/> Physical (please specify email id): _____ _____
• Whether you wish to avail of the facility of internet technology (Please Specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No
• Number of years of investment / trading experience	
• Any other information	

H. INTRODUCER DETAILS *(optional)*

First Name																					
Middle Name																					
Last Name																					
Status of the Introducer	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, Please specify_____																				
Address & Phone No. of the Introducer																					
Introducer Signature	I																				

DECLARATION

1. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it.
2. 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. We confirm having read and understood the contents of the “Rights and Obligations” document(s) and “Risk Disclosure Document”. We do hereby agree to be bound by such provisions as outlined in these documents. We have also been informed that the standard set of documents has been displayed for information on stock broker’s designated website, www.edgeonline.in.

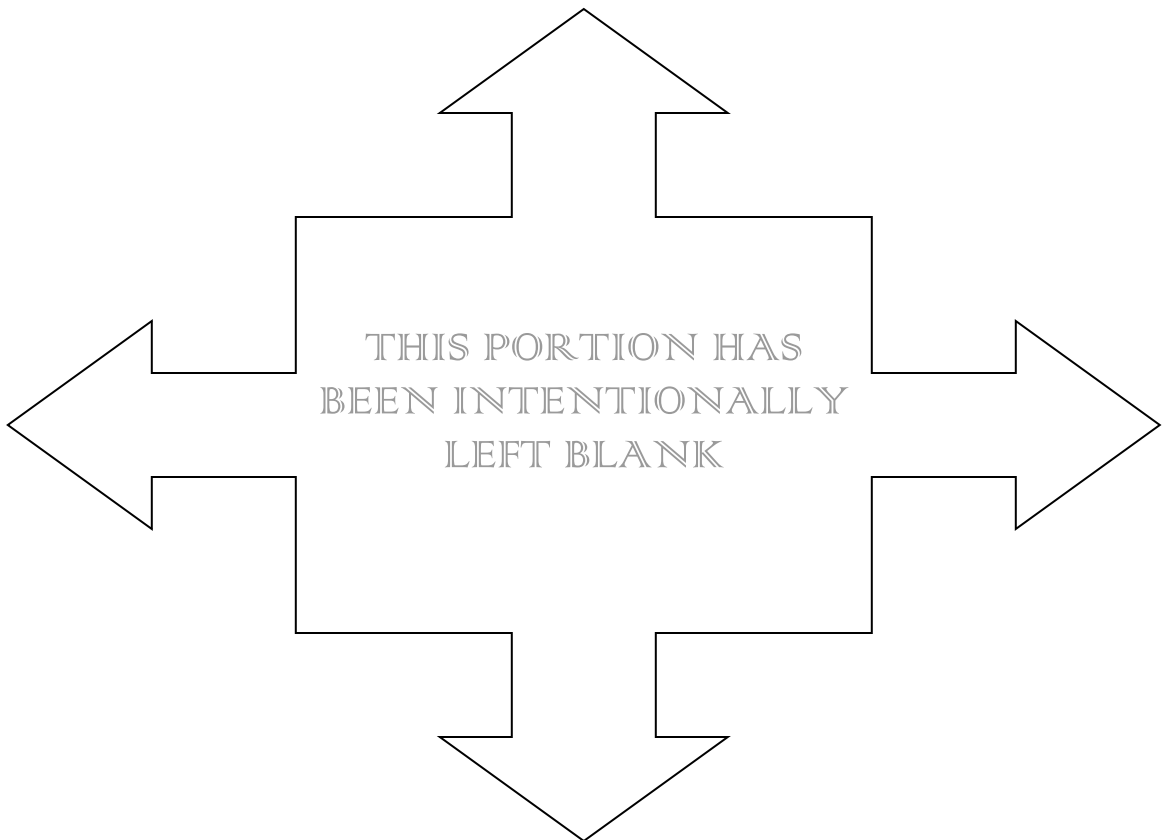
Place _____

13/24

Ⓒ

Date _____

Signature of the Applicant



FOR OFFICE USE ONLY						
UNIQUE CONSTITUENT CODE : (To be inserted by the Brokerage Firm)						

	Documents verified with Originals	Client Interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

(Signature of the Authorised Signatory)

Date _____

Seal / Stamp of the Edge Securities Pvt Ltd.

INTERNAL CONTROL DOCUMENT

Particulars	Name	Date	Signature
Received By			
Whether Data Entered in Back Office Software	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Checked By			
Final Checked By			
Account Opened By			
Scanned By			
Audited By			

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

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

CLIENT INFORMATION

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

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

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

ELECTRONIC CONTRACT NOTES (ECN)

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

LAW AND JURISDICTION

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

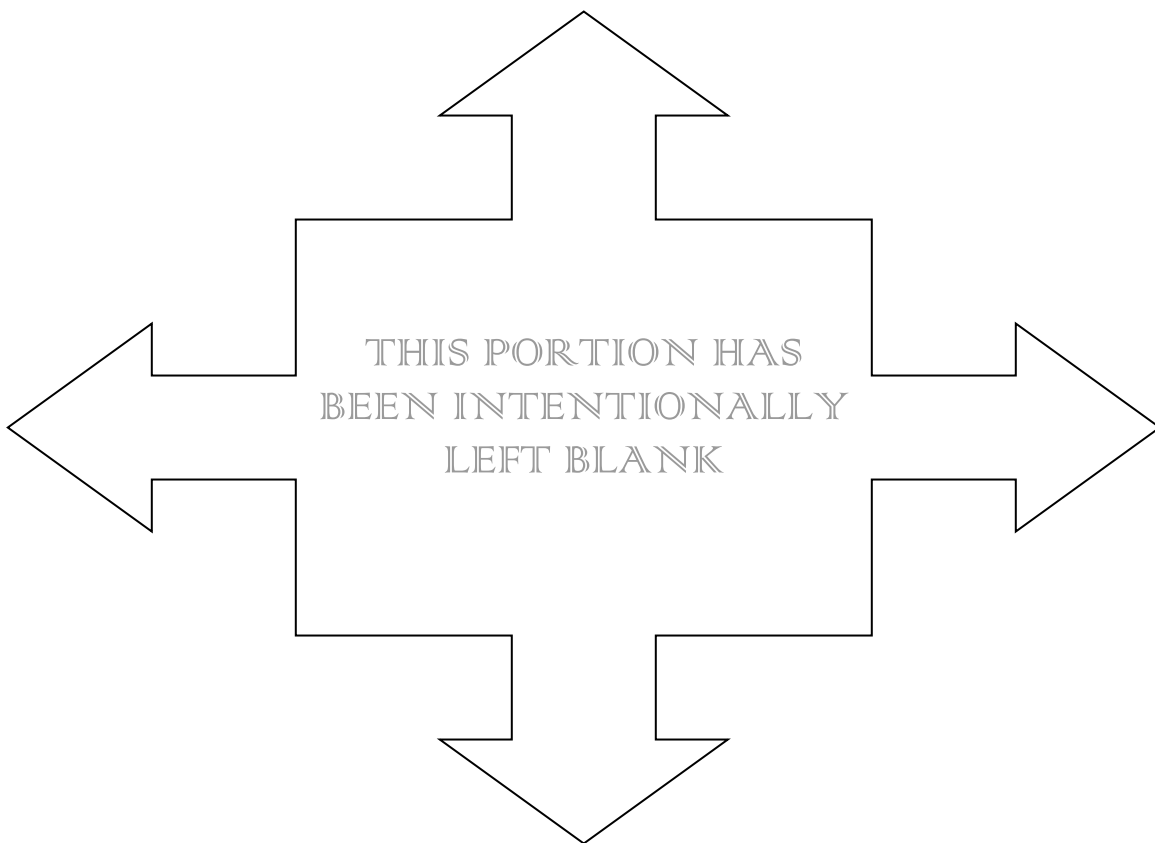
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45.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

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.



RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:**1.1 Risk of Higher Volatility:**

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

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

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

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

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

2.2 Currency specific risks:

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

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

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

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

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

BEFORE YOU BEGIN TO TRADE

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

EDGE SECURITIES PVT. LTD. (hereinafter called 'ESPL') has specific operational polices & procedures in place for smooth operations & risk management which are listed as follows:

Refusal of orders for penny stocks:

ESPL does not encourage trading in penny stocks or illiquid securities falling in T group / BE or Z group of various Exchanges and reserves its right to refuse orders of clients in such securities. A stock that trades at a price which is less than the face or paid-up value is considered as Penny Stock. Exchanges provide the list of illiquid securities on a periodic basis & the same is available at the websites of Exchanges. However, under exceptional circumstances & considering merits on case to case basis, trading in penny stocks & illiquid T2T / Z category stocks may be allowed to clients subject to stringent verifications of the client holdings, intentions and bonafide reasons given by the intending clients. Trading limits will be allowed subject to various conditions like margin payments, ledger balances, trading pattern etc as per the Risk Management Policy of ESPL. However, additional trading limits may not be allowed on a regular basis to the clients for such transactions.

ESPL reserves its right to suspend the client account if it is observed that client is indulging in trading Activities only in penny stocks or illiquid securities falling in T group / BE or Z group of various Exchanges with a malafide intention influencing the price or carrying on any insider trading Activity, without any reasons being given to the client. It is to be noted that trading in such securities will be monitored and shall be subject to the due diligence of Risk Management & Compliance Departments of ESPL.

Setting up client's exposure limits

ESPL may from time to time impose and vary limits on the orders that the client can place through the ESPL's 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). ESPL sets exposure limit for each client based upon the Risk Profile of the Client which is based on: a) Credit balance in client's ledger: b) Stocks lying in Client Beneficiary account & Stocks & Funds lying in Client Margin account of ESPL. However, in case of cash market, ESPL may at its own discretion allow additional exposure after considering the relationship, track record, net worth, credit worthiness, etc. of the client. The exposure limit will differ from client to client at the discretion of ESPL.

Applicable brokerage rate

The client is required to pay brokerage as per the rate mutually agreed (as per Doc.2) between the Client and the Relationship Manager of ESPL at the time of opening the trading account and within the limits prescribed by SEBI / Exchanges. However, any subsequent change in Brokerage rate will be effected only with the written mutual consent of Client and ESPL.

Statutory Levies & Other Charges

All statutory levies and transaction & clearing charges levied by the Clearing Member / Exchanges / Depositories / Regulatory Bodies would be levied at applicable rate & recovered separately from the Client in addition to Brokerage.

Imposition of Delayed payment charges (DPC)

ESPL may levy "Delayed payment charge (DPC)" at the rate of 2% per month on a daily basis from the settlement date on all outstanding obligations. It is to be noted that such DPC is deterrent in nature & as such can not be assumed to be financing / funding the client's settlement obligations. ESPL reserves its right to change the DPC rate at its sole discretion without assigning any reason and any such change shall be communicated to the Client from time to time.

No interest or charges will be paid by ESPL to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

Recovery of Penalty

ESPL reserves its right to pass on any penalty charged by SEBI / Exchanges as a result of any violation or non-compliance committed by the client with respect to submitting wrong KYC information, trading & position violations, indulging in price rigging, abnormal & circular trades, creating artificial market, doing financial transactions using trading systems of Exchanges etc.

Right to sell clients' securities or close clients' positions without notice to the client, on account of non-payment of client's dues (limited to settlement/margin obligations)(as per SEBI Circular no. CIR/HO/MIRSD/DOP/CIR/P/2019/75, dated 20th June 2019)

1. Open positions in CM segment may be squared off on 5th trading day from the settlement day to the extent of due debit and unsettled obligation amount.

2. In case of square off, securities available in unpaid securities account/client collateral account(s) may be sold proportionate to the outstanding amount or based on liquidity/ depth in market/ risk towards the balance securities/trades carried out by the client.

3. No fresh exposure will be allowed on square off day unless on receipt of clear funds / credit balance in ledger from sale proceeds.

Ledger balance for all purposes will be considered on the basis of realized balances excluding unclear cheque credit.

However, management at their sole discretion may take any informed decision to deviate from the aforementioned policy in certain instances on a case to case basis.

Internal Shortages

Internal Shortage arises when both the buyer and the seller of scrip (other than T or BE Group scrips) are clients of ESPL and the seller fails to deliver scrips to fulfill his settlement obligation.

In such an event, ESPL shall report to BSE for such default in payin of securities by the client. Such shortage shall be taken care by the Exchange through Auction or close out by the Exchange and the auction/close out price shall be debited to the defaulting client's funds ledger.

However, if securities are not received in auction from market, then all shortages are to be closed out as per the guidelines of Exchanges and the close-out amount of Closing price of securities as on T+2 day plus _____% is debited to short delivering client (original seller).

Conditions & Restrictions on clients to take further positions & close-out

ESPL reserves the right to decide, from time to time, the volume of business which the client shall be allowed to do in his trading account. Further, with respect to F&O Segment, ESPL shall have the sole discretion of reducing or restricting or zeroing the positions / volumes of the client without any prior intimation / notice to client if: a) client fails to maintain the applicable collaterals / margins with ESPL as per the norms of Exchanges: b) client's intraday mark to market loss crosses 80% of the initial margin c) client delays in meeting its settlement / margin / MTM obligations / dues relating to his transactions. d) it is found / observed that client submitted wrong KYC information, client is indulging in price rigging, abnormal & circular trades, creating artificial market, doing financial transactions using trading systems of Exchanges etc. e) there is any abnormal behavior / Action / deed / trading pattern of the client is observed / found. f) there is volatility in the Stock Market which is beyond the normal level g) there is any emergency with respect to political / financial instability in the country or otherwise h) there is any price sensitive factors is present in the economy. i) any scrip is relisted where the circuit filters are not applicable on the day of relisting.

Temporarily suspending or closing of account at client's request

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

ESPL reserves the right to suspend the trading account of client temporarily and / or temporarily withhold the pay-out of Funds & Securities of Client if client has not fulfilled the settlement / margin / MTM obligations or if any alerts generated by the Risk Management System which warrants the client to give explanations or ESPL is informed the death of the Client, with or without giving notice.

De-registering a client

In addition to the closure of account in accordance with termination clause of the client member agreement, ESPL will deregister the client without any prior intimation / notice if: (a) the Client has found to be of unsound mind by a court of competent jurisdiction, (b) client is an adjudged insolvent or the client applied to be adjudicated as an insolvent, (c) the Client has been convicted by a Court of any offence involving moral turpitude, (d) the client being declared a defaulter by any of the regulatory bodies of the country or under any law being in force, (e) ESPL becoming aware of any proceedings being initiated against the client by any of the regulatory bodies of the country or under any law being in force or the client being involved in any

criminal proceedings or any illegal business or the ESPL becoming aware of the client's past offences which are illegal or prohibited by the regulatory bodies of the country or under any law being in force, (f) the client makes a voluntary written request to de-register himself, (g) the client defaults in meeting its obligations, (h) specific written directions of any statutory / legal / Regulatory Authority is received by ESPL.

Dormant / Inactive Accounts

An account, irrespective whether having debit or credit balance shall be treated as dormant account if there are no transactions (i.e., neither trade entries nor payments / receipts entries in the client ledger) for a period of more than six months since the last transaction date. After any account has been classified as dormant account, it can be re-Activated when the client submits a formal application stating the reasons for non-operation and proper identification. After due verification by ESPL, the account shall be re-Activated. ESPL may levy re-Activation charge for the same. However, the formal application as well as reactivation charge may be waived by ESPL on case-to-case basis.

In the event that the constituent does not submit mandatory documents / annual PMLA documents / any other disclosure or compliance related disclosures / documents then the member / broker is entitled to deactivate the account of such a non-compliant client. Such an account shall remain inactive / dormant till the client is fully compliant.

Policy on Handling of Client's Securities

- In case if the payin of funds is not received and credited to ESPL's client bank account from the client, then ESPL shall hold the securities with them till 5th day from receipt of payout of securities from the Exchange in the Client Unpaid Securities Account (CUSA) till the debit is not cleared by the client.
- ESPL shall transfer the securities received in payout partially or fully to the client's BO account according to the client's outstanding amount getting realized partially or in full only by way of receipt of clear funds, but considering the future obligations of unsettled transactions and risk obligation.
- Based on client instructions, securities (after applying hair cut) available in excess of the client's outstanding trade related obligations may be transferred to client BO account as a part of the retention for actual settlement of funds and collateral.
- Excess collateral held in "Client Collateral" account will be released to the clients once in every 30/90 days as opted by clients through the Running Account Authorization letter provided in the client registration document and in accordance with the retention norms of Exchanges as applicable from time to time.

ESPL may, however, at the sole discretion of management on a case to case basis, transfer the unpaid securities to Client's BO account even in case if the debit balances in the client's ledger are not cleared.

Grievance Redressal

At ESPL, we believe in providing the best of services to our clients. However, if any client has a grievance, client can approach us at our corporate office located in Mumbai or email at: grievance@edgesecurities.com within 30 days of the receipt of Contract Note or Statement of Accounts by the Client. ESPL has a mechanism in place for handling grievances under the supervision of Compliance Officer & all grievances & complaints raised by clients are dealt with courtesy and on time as per the guidelines of SEBI / Exchanges.

Disclosure-Pro-Account Trading

As required by SEBI Circular No. SEBI/MRD/SEJCir-42/2003 dated 19/11/2003, ESPL hereby discloses that ESPL may undertake proprietary trading as well as client based trading at any given point of time.

Constructive Notice

The above policies and procedures are subject to change / updation by ESPL from time to time, The updated policies and procedures of ESPL shall be posted on the website of ESPL www.edgeonline.in. Clients are required to refer to the updated policies and procedures and abide by the same.

Declaration

I have read and fully understood the above policies & procedures of ESPL. and agree not to call into question the validity, enforceability and applicability of this document any circumstances whatsoever.

Client Name _____

Client Signature

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TARIFF SHEET

BROKERAGE AND STATUTORY CHARGES

Further, I/We agree to the following terms of doing business

Segment	Sq. off %		Sq. off Min (ps)		Settlement %		Settlement Min (ps)	Delivery%	Delivery Min (ps)
	Buy	Sell	Buy	Sell	Buy	Sell			
BSE Cash									
BSE F & O									
Mutual Fund									

The above given brokerage will be inclusive / exclusive of the following charges

	BSE Cash	BSE F & O	BSE MUTUAL FUND
Transaction charges	(At actuals)	(At actuals)	(At actuals)
Sq. up Stamp Duty	(At actuals)	(At actuals)	(At actuals)
Del. Stamp Duty	(At actuals)	(At actuals)	(At actuals)
STT	(At actuals)	(At actuals)	(At actuals)
Demat Charges	(At actuals)	(At actuals)	(At actuals)
Goods & Service Tax	(At actuals)	(At actuals)	(At actuals)
SEBI Turnover Fees	(At actuals)	(At actuals)	(At actuals)

- Note: 1. Inter settlement / DP transactions arising out of purchase / sell transactions effected by constituents will be debited to Constitute Account.
2. The above charges are subject to change by the regulatory authorities or Government agencies.
3. If the client does not make a payin on T+2 basis or if any outstanding debit balance exist in his account, delayed payment charges @ upto 2% per month or part thereof shall be levied to the client (+) GST (if any, on applicable rates).

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C

Signature of the Applicant

ADDITIONAL CLAUSES AGREED BETWEEN STOCK BROKER AND CLIENT

The following clauses are not part of Uniform set of Documents prescribed by SEBI vide its circular number CIR/ MIRSD/16/2011 dated August 22, 2011. These additional provisions further supplement the clauses and have been added in order to ensure smooth functioning of trading and to enhance the transparency of Stock Broker Client relation. The client is hereby informed that these clauses are voluntarily being agreed at the discretion of Stock Broker and client.

The client and Stock Broker in addition, to the above, also agree to the terms and conditions stated herein below:

A. General terms and conditions governing the service

1. The provisions of these terms and conditions and all transactions that are carried out by and on behalf of the Constituent, shall always be subject to the provisions of Securities Contracts (Regulations) Act, 1956 and the Rules & Regulations, guidelines & circulars issued by Stock Exchanges, Clearing Houses, SEBI, RBI, NSDL & CDSL, Member is under no obligation to inform Constituent of changes in these Rules, Regulations / guidelines etc.
2. Where the Constituent is Non Resident Indian, he agrees to abide by the Foreign Exchange Management Act, 1996 and rules and regulations issued there under from time to time.
3. The Constituent hereby authorizes Member to take all such steps on the Constituents behalf as may be required or advisable in the Members opinion for compliance with the Exchange provisions or any other law or provisions or to complete or settle any transactions entered in to through or with the Member or executed by the Member on behalf of the Constituent. However nothing contained herein shall oblige the Member to take such steps.
4. The Constituent states that he is eligible and has authority to enter into a Member Constituent agreement ("the Agreement") and nothing in law or otherwise bars the Constituent there from. The Constituent having entered / agreed to enter in to the Agreement shall be deemed to have satisfied himself with regard to eligibility in this respect.
5. All reference to the specific quantity / rate/ fee / charges mentioned in the Agreement or these terms and conditions or in any other writing are subject change from time to time without notice.
6. These terms and conditions can be altered amended and / or modified by the parties mutually. Provided however 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 SEBI or Bye Laws, Rules and Regulations of the relevant stock exchange such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in the Agreement and or these terms and conditions. Provided further that the Member may communicate any changes to the these terms and conditions in writing or by electronic form to the Constituent or post the same on the web site of the Stock changes are binding on the Constituent if the Member has received no objection from the Constituent within 15 days from the date of such communication.
7. The Constituent agrees that he will not Act as Sub-broker with out prior written permission of the Member and without obtaining certificate of registration from SEBI.
8. All orders made by the Constituent shall only be in securities compulsorily traded in the dematerialized form. All deliveries of securities made by or to the Constituent shall only be in the dematerialized form unless otherwise agreed by the Member.
9. The Constituent shall transmit his order to the Member through the Internet over the Members web site or through telephone (wherever and whenever such facility is available and for offered by the Member and as per predefined procedure of forwarding the order through a phone broking executive) or in such manner as the Member may permit.

10. The Member may at its sole discretion square off any outstanding position(s) of the Constituent due to all or any of the following:
 - i. Shortage of margin
 - ii. Any restrictions in relation to volume of trading /outstanding business or margins stipulated by the Exchange, clearing corporation / clearing corporation / clearing house and for the Member
 - iii. Delays by the Constituent in meeting his obligations / dues to Member and for the clearing corporation / clearing house
 - iv. Any extraordinary event warranting such square off.

B. Risk Disclosure

11. The Member declares that it has brought out the contents of the risk disclosure document to the notice of the Constituent and made him aware of the significance of the said document and the Constituent states and agrees that he has read, understood, appreciated and signed the risk disclosure documents of the Exchange and has retained a copy thereof.
12. The Constituent agrees and declares as follows that:
 - i. The Constituent shall deposit with the Member such monies, securities or other property that may be required to open and / or maintain his account with the Member:
 - ii. The Constituent shall not, acting alone or in concert with others, directly or indirectly, hold and control excess number of permitted Derivatives contracts as fixed from time to time by the Exchange.
 - iii. The Constituent shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly, the Constituent would have exercised in excess of the number or permitted future contracts as may be fixed from time to time by the Exchange.
 - iv. The Constituent authorizes the Member at the discretion of the Member should the Member deem it necessary for risk containment, to buy, sell or close out any part or all of the derivative contracts held in the Constituents account with the Member Any or all such incidental expenses incurred by the Member shall be reimbursed by the Constituent.

C. Margins

13. The Constituent shall make available the prescribed initial margin in the form of cash and / or in the form of approved securities ("the Margin") with the Member prior to commencement of trading and / or before placing every trade / order instructions. The Constituent may be permitted to trade up to a predetermined number of times of the Margin ("the Multiple") and the quantum of the Multiple on the margin shall be decided at sole option or discretion of the Member based on the specific stock or scrip or contract the Constituent intends to trade in. The Member shall have the irrevocable right to set off a part or whole of the Margin i.e. by way of appropriation of the relevant amount of cash or by sale or transfer of all or some of the securities, which form part of the Margin, maintained by the Constituent with the Member. In exercise of the Member's right under the Agreement, the Constituent agrees that the choice of specific securities to be sold shall be solely at the Members discretion. The Member shall have the sole and absolute discretion to refuse any particular form of margin offered by a Constituent the Member shall be entitled in its sole discretion to revise the amount of and / or modify or revise the type of margin it shall require / accept from the Constituent from time to time.
14. The Constituent agrees that the Member shall be entitled in its sole discretion to require the Constituent to deposit with the Member a higher margin than the prescribed by the Exchange or any other applicable law. The Member shall also be entitled to require the Constituent to keep permanently with the Member margin of a value specified by the Member as long as the Constituent desires to avail of the Member's services herein. If any security offered as margin is found not to be of good delivery at any time after its deposit with the Member, is entitled to reduce the amount of margins attributes to such security and the Constituent shall immediately replace the same, falling which the Member may revise the margin requirement of the Constituent and for square off any outstanding position of the Constituent.

15. The Member is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by the Exchange, Clearing House or SEBI and the Constituent shall be obliged to pay such margins:-
- i. **Margin on Purchase:** The Member may require the Constituent to deposit interest free margin of such percentage as may be intimated by the Member from time to time on the price of the securities proposed to be purchased.
 - ii. **Margin on Sales:** The Member may require the Constituent to deposit interest free margin of such percentage or the relevant securities as may be intimated by the Member from time to time on the price of securities proposed to be sold.
 - iii. **Margins in Derivative Contracts:** In the derivative segment, the Constituent is liable to pay an initial margin up front on or before creating position. The Member shall decide upon such margin from time to time. Furthermore, the Constituent is liable to pay (or receive) daily margins depending on whether the price of the derivative contract moves for or against the position undertaken. The Constituent may also be liable to pay exposure margin, withholding margin, special margins or such other margins as are considered necessary by the Member or the Exchange from time to time. The Constituent agrees to pay the option premium and daily Mark to Market losses in the form of cash only and not securities.
 - iv. **Mark to Market Derivative Contracts:** The Constituent also agrees to pay an upfront margin at the beginning of taking up a position that should cover the daily margins for the said positions. If at any time during the period the said position is open or held, the cumulative Mark to Market margin falls short of the required margin in the Constituent's accounts, the Constituent agrees to pay the Member additional margins calls. As the upfront margin is purely for operational convenience, the Constituent will ensure that the margin with the member are adequate at all times and will immediately make good any shortfall that is noticed on the Constituents open positions on the Website or otherwise.
 - v. **Payment through Cheque / Demand Draft:** In case where the payment by the Constituent towards the margin is made through a cheque issued in favour of the Member any trade(s) would be executed by the Member only upon the realization of the funds of the said cheque or at the discretion of the Member. The Constituent agrees to mention his Constituent code along with his name on the reverse of any instrument through which he makes the payment to the Member.
 - vi. The Constituent may place margin with the Member in form of securities as approved by the Member. Such securities may at the discretion of the Member be market as lien / pledge in favour of the Member from the depository account of Constituent or such securities may be placed in a separate depository account of Member.
 - vii. The Constituent may place / deposit only those securities that are acceptable to the Member if at any time a particular security ceases to be on the list of approved securities accepted towards margins, the Constituent shall provide such other margins as may be required in replacement of such security.
 - viii. The Constituent agrees and authorizes the Member to determine the market value of securities placed as Margin after applying a haircut that the Member deems appropriate. The Constituent's positions are valued at the latest market price available on a continuous and / or regular basis by the Member. The Constituent undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations there is erosion in the value of the margins, the Constituent agrees to replenish any shortfall in the value of the Margins immediately, whether or not the Member intimates such shortfall. In case of shortfall in margin due to reduction in value of securities placed as margins, the Member may square-off any outstanding position of the Constituent.
 - ix. The Member may at its sole discretion, prescribe the payment of Margin in the form of cash instead of securities. The Constituent accepts to comply with the Member's requirement of payment of Margin in the form cash immediately falling which the Member may self dispose,

transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Constituent as it deems fit in its discretion without further reference to the Constituent; and any resultant or associated losses that may occur due to such square off / sale shall be borne by the Constituent, and the Member is hereby fully indemnified and held harmless by the Constituent in this behalf.

- x. The Constituent agrees that any securities placed by him / her as Margin may in turn be placed as margin by the Member with the Exchange / Clearing House / Clearing Corporation as the Member may deem fit. The Constituent authorizes the Member to do all such deeds, and things as may be necessary and expedient for placing such securities with the Exchange / Clearing House / Clearing Corporation as margin
- xi. If payment / securities towards the Margin is not received instantaneously to enable restoration of sufficient Margin in the Constituents account, all or some of the positions of the Constituent may be liquidated by the Member at its sole discretion, without any reference or prior notice to the Constituent. The resultant or associated losses that may occur due to such squaring off or sale of such securities shall be born by the Constituent and the Member is hereby fully indemnified and held harmless by the Constituent in this behalf. Such liquidation or close out of position shall apply to any segment in which the Constituent does business with the Member. The Constituent is responsible for all orders including any orders that may be executed without the required Margin / Securities in the Constituents account. If the Constituents order is executed despite a shortfall in the available Margin / Securities, the Constituent shall whether or not the Member intimates such shortfall in Margin to the Constituent instantaneously make up the shortfall through delivery of securities in the event of a sale, or credit the required funds in the bank account in case of margin / buy order as may be required by the Member any reference in these terms to sale or transfer of securities by the Member shall be deemed to include sale of the securities, which form part of the Margin maintained by the Constituent with the Member. In exercise of the Member's right to sell securities under these terms, the Constituent agrees that the choice of specific securities to be sold shall be solely at the Member's discretion.
- xii. Any amendment in the percentage of the margin as required to be maintained under the terms and conditions mentioned herein shall be intimated by the Member to the Constituent over the telephone or in writing or by posting the amended details on the Website. The Constituent is required to make to replenish the shortfall in such margins, if any, immediately.
- xiii. In the event of shortfall in margin the Member, without being under obligation to do so may check the availability of additional limits in the Constituents accounts in order to restore the margin level to the initial margin levels and in the event of no such additional limits being available in the Constituents account, the Constituents open position may be squared off by the Member at its discretion.
- xiv. The Constituent agrees that it shall be the Constituent's responsibility at all times to ensure that available margin is always above the minimum margin requirement specified by the Member for a particular position. In case the Constituent has availed trading facility through the internet, Constituent agrees and accepts that it may not be possible for Member to inform him about any short fall in margin requirement, if any, individually.
- xv. It is clarified for the avoidance of doubt that all losses, financial charges on account of liquidation / closing out shall be borne by the Constituent.

D. Trading

16. The Constituent agrees to provide information relating to his identity and such other information as may be required while placing orders on the telephone to determine the identity of the client.
17. The Constituent agrees that all orders placed by him for securities whether through the Website through any Call and Trade facility or otherwise shall be within the parameters defined and mentioned in the terms and conditions specified by the Member.
18. Upon execution or cancellation of any order placed through the Member's system, the Constituent

shall be given a confirmation, on the Website or electronic mail or SMS or any other means after the execution of the order / trade and this shall be deemed to be valid delivery thereof by the Members. It shall be the responsibility of the Constituent to review, immediately upon receipt, whether delivered to him on line, by postal mail or by courier or by electronic mail or SMS or any other electronic means, all confirmation of orders, transaction, or cancellations. It shall be the responsibility of the Constituent to follow up with the Member for all such confirmation that is not received by him within stipulated time.

19. In case of any security, which is subject of a stop order, the Constituent shall take steps to cause such stop order to be promptly lifted. Any loss and expense on account of a trading with regard to such securities shall be borne by the Constituent alone and the Constituent hereby agrees to indemnify Stock Broker, its directors and employees in this regard.
20. The Constituent is aware that there is a facility on the exchange web site for verification of trades by giving trade and order reference.
21. All orders authorised by the Constituent for the purchase / sale of the securities, which may be listed on more than one exchange may be executed on any Exchange by Stock Broker unless otherwise specifically directed by the Constituent at the time of submitting the order.
22. Constituent shall be allowed to trade or deal only during Trading Hours. However, Stock Broker may at its discretion, agree to receive orders even outside trading hours. Stock Broker may accumulate such orders received outside trading hours and route such orders for possible execution when the concerned Exchange next opens for trading.
23. The Constituent agrees to ensure that all orders and instructions which Stock Broker receives from the Constituent are absolutely clear and unambiguous, and the Constituent agrees that if any instructions or orders or any details thereof are not absolutely clear and unambiguous, Stock Broker, its employees or its authorized representative shall be entitled to interpret the same as per his understanding and such understanding & interpretation shall be treated as final and binding upon the Constituent. The Constituent further agrees that Stock Broker may refuse to execute an incomplete or ambiguous instruction. The Constituent shall be solely liable for any error made in composing or transmitting an instruction to Stock Broker.
24. The Constituent understands the risk associated with verbal orders and accept the same, and agree that the Constituent shall not be entitled to disown orders under the plea that same were not under his instructions. Upon such modification/cancellation of order (Cash and / or Derivatives segments respectively) by the Stock Broker, the Constituent shall be informed within a reasonable period of time by telephone or orally or in writing or by sending a fax to the Constituent or through E-mail, SMS, Chat facility, if available with the Constituent. However, if the order results in a trade in the meantime, the requests for modification or cancellation cannot be executed by the Stock Broker.
25. Member shall have the right to refuse or to accept the whole or a part of any order or instruction received by Member from the Constituent, and / or refuse to execute the whole or a part of any accepted order or instruction, in particular and without prejudice to the generality of the foregoing. Member may refuse to execute or accept the whole or part of any order or instruction; (i) based on risk perception of such order; or instructions; or if Member believes that to accept or execute such an order or instructions will or may contravene a law or regulation or if the order is out of the limits of the available fund balance or available stock balance of the Constituent.
26. Member may employ / authorize sub-brokers / officials to Act on its own behalf or on behalf of the Constituent, in connection of execution of any order and Member shall be responsible only for reasonable care in the selection, appointment and / or action of such Sub-Broker / officials.
27. There may be a delay in the Member receiving reports of transaction(s) / status from the respective exchanges or other agencies in respect of or in connection with which the Member has entered into contracts or transactions on behalf of the Constituent(s). Accordingly the Member may forward to the Constituent late reports in respect of such transactions that were previously unreported to him as being expired, cancelled or executed. The Constituent shall not hold the Member responsible for any losses suffered by the Constituent on account of any late reports, statements or any errors in the report /

statements computed by or received from the Exchange or any agencies.

28. The Constituent agrees that if, in any circumstance or for any reason, the market closes before the acceptance of the order by the Exchange, the order may be rejected. The Constituent agrees further, that the Member may reject orders if the Exchange for any reason rejects the same. In case of rejection of an order due to rejection by the Exchange, the Constituent agrees that the order shall remain declined and shall not be reprocessed in any event.
29. The Member may, at its sole discretion, reject any order placed on the Website or in any other manner for any reason including but not limited to, the non - availability of funds in the trading account of the Constituent, non - availability of securities in the Demat account of the Constituent with a designated depository participant, insufficiency of margin amount if the Constituent opts for intra day margin trading, suspension of scrip for trading activities by or on in the Exchange and the applicability of circuit breaker to a scrip in which orders are placed.
30. In the event of the Constituent requires an executed trade to be cancelled, the Constituent shall give the request for trade cancellation in writing and the Constituent further agrees that the right to approve or reject the cancellation of trade rests with Exchanges.
31. When the Constituent places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if Constituent's request for cancellation is received and the order is successfully cancelled before it is executed. The Constituent shall not be entitled to presume an order as having been executed or cancelled until a confirmation from the Member is received by the client. The Exchange may annul a trade suo-moto without giving a reason therefore. In the event of such annulment, the Member shall be entitled to cancel the relative contract(s) with the Constituent.
32. Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the client, the Member shall not be liable for any delay in the execution of any order or any resultant loss on account of delay. Constituent agrees that any order placed by a Constituent is subject to manual review and entry, which may cause delays in the processing of Constituent's order or may result in rejection of such order.
33. The Constituent is aware that the Member may tape-record the conversations between the Constituent or the Constituent's representative and the Member, either personally or over telephone, and the Constituent hereby specifically permits the Member to do so. Such electronic recordings may be relied upon by the Member as and when required to resolve disputes in connection with the trading transactions. The Constituent also agrees that such recording and the Member's records of any orders, instructions and communication given or made by the Constituent or the Member by electronic mail, fax, or other electronic means shall be admissible as evidence and shall be final and binding of the same.
34. In case of a market order, the Constituent agrees that he will receive the price at which his order is executed by the Exchange's computer system; and such price may be different from the price at which the security is trading when his order is entered into the Member's Internet and other trading System.
35. The Constituent understands and agrees that the Member at any time, at its sole discretion and without prior notice, prohibit or restrict the Constituent's ability to place orders or trade in securities through the Member. The Constituent agrees that where an order has been placed through the Website and such order is not accepted on the Website for any reason, the Member shall have the right to treat the order as having lapsed.
36. The Constituent is aware that the electronic trading systems either at the Exchange or in the Members offices are vulnerable to disruptions, breakdowns of failures. In the event of non-execution of the orders or trade cancellation due to the happening of such events, the Constituent may not be able to execute the desired transactions. In such event the Member does not accept responsibility for the losses, cost, expenses and damages that may be incurred by the Constituent.
37. The system used by the Member for providing Internet Trading services or dial up services are

generally capable of assessing the risk of the Constituent as soon as order comes in, however due to any reason whatsoever, if the order is processed without sufficient risk cover from the Constituent, the Constituent shall be bound by such trade and shall provide such sum as may be required to meet his liability under the trade. Due to technical or other factors the confirmation may not be immediately transmitted to or received by the Constituent and such a delay shall not entitle the Constituent to presume that the order has not been executed, cancelled or modify unless and until the Member has conformed the same in writing.

38. The Member shall issue contract notes within 24 hours of the execution of the trade. Such contract notes may be digitally signed & sent by electronic mode and posted on the Website or if issued in physical form, shall be dispatched by the Member by courier/post or through any other medium of communication at the address registered with Member by the Constituent.
39. The Constituent consents and agrees to the Member issuing the contract note in digital form and receiving the same by means of electronic communication. The Constituent acknowledges and agrees that non- receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the email ID of the Constituent. The email address of the Constituent for the purpose of receiving the contract notes shall be the address as available with the Member. Notwithstanding anything contained herein, the Member may send contract notes, bills or statements of account or trade confirmations by email or by courier / mail post at the address mentioned in the Constituent registration form or at any other address expressly informed to the Member by the Constituent. The Member shall not be responsible for non-receipt of trade confirmations /contract notes due to any change in the correspondence address of the Constituent and the same not intimated to the Member in writing. The Constituent is aware that it is his responsibility to review trade confirmations, contract notes, bills or statements of account immediately upon their receipt.
40. Any communication sent by the Member in electronic form shall be to the known email address of the Constituent or through access to the web site of the Member described in the Agreement and / or these terms and conditions shall be binding on the Constituent.
41. The Constituent authorizes the Member to sell securities of the Constituent to recover dues owed by the Constituent to the Member without any instructions from him.
42. Constituent hereby agrees that if no queries are raised in respect of transactions or any other entries those are appearing in the Contract Notes where in electronic or physical, bills, ledger, transaction statements, reports, letters, circulars, notices, etc. issued to the Constituent from time to time by Member. The Member shall not be responsible for non delivery of the same and it shall presume that the aforesaid documents are in order

E. Mutual Fund Transactions

43. The Constituent undertakes to read all the relevant offer documents and terms and conditions of all schemes of all mutual funds, other securities including Initial Public offerings, Follow up offers, Buy Back Offers, other investment or trading or insurance products etc before entering into any transactions.
44. The Constituent is requested to check up the personal and bank related details by him. Neither the Member nor any of the Mutual Funds / issuers / agency chosen shall accept any liability that may arise as a consequences of the erroneous information provided by the Constituent.
45. The Member does not accept any liability for delay in processing time at the Mutual Fund's / Issuer's / Registrar's end.
46. Neither the Member nor any of the Mutual Fund AMC's nor the concerned Issuer shall be liable for any failure to perform its obligations, to the extent that such performance has been delayed, hindered or prevented by system failure, network errors, delay or loss of data and in circumstances of Acts of God, fire, floods, earthquake, tsunami, epidemics, quarantine, riot, civil commotion, act of terror, war, and act of state.
47. The Constituent agrees that the Member may send any document that is obligatory to be sent to the

Constituent by means of an electronic communications. This electronic communication may be in the form of an e-mail attachment, a download/display available on the Member website. The Member would be deemed to have fulfilled its legal obligation to deliver the documents to the Constituent, if it is send by electronic mode.

F. Banking / Depository relationship and Bank / Depository account(s)

48. The Constituent agrees that to the Member may, at any time, during the subsistence of any arrangement relating to subject matter of these presents, require the Constituent to open one or more accounts with a designated bank and a designated depository participant. The Constituent agrees that the debit / credit for all the transactions may be effected in this / these accounts.
49. The Constituent agrees that to the extent permitted by the law of the time being in force, any instructions issued or given by the Member pursuant to the authority conferred upon the Member, if any, will be given first priority over any instructions or cheques given or issued by the Constituent and that funds or securities once blocked on the instruction of the Member in connection with the trade / transaction entered into by the Constituent with or through the Member can be released only with the express written consent of the Member. The Constituent further agrees that if the Member has given any blocking, holding, debit or other instructions in respect of any funds or securities in connection with a trade / transaction entered into or to be entered into by the Constituent with or through the Member and the designated bank and / or the depository participant receives transfer, debit or other instructions in respect of such funds or securities from the Constituent or any other person, then such bank and / or the participant shall first give effect to the instructions issued by the Member on a first priority basis. The Constituent agrees to ratify and confirm all Acts, deeds, matters and things that the Member may do pursuant to such authority as if it were done by Constituent himself.
50. The Constituent agrees that the Member shall have the right at any time during the subsistence of the Agreement, and hereby authorizes the Member, to give any instructions pursuant to transactions covered under the Agreement and / or these terms and conditions with the designated bank. The Constituent agrees that he shall have no cause of Action in respect of any instruction that may be given to the bank in respect of accounts maintained with such bank in pursuance of these presents and hereby agrees to ratify and confirm all that the Member or such bank may do pursuant to such authority.
51. The Constituent agrees that in the event, designated bank terminates the agreement / its relationship with the Constituent in respect of bank account maintained by the Constituent with the designated bank for any reason or informs the Member of any misdemeanor or transgression by the Constituent in the operation of the account or in any other circumstance resulting in closure or in operation of the said account with the designated bank, the Member may, at its discretion, suspend its services to the Constituent.
52. The Constituent confirms that the bank account linked / to be linked to the trading account is the valid bank account of the Constituent.
53. The Member may endeavor to provide the Electronic Payment Gateway (EPG) for making fund transfers and such services are subject to various conditions which may vary from Constituent to Constituent. These facilities shall be offered in phased manner and the Member may make additions / deletions to the said services as its sole discretion. The availability / non-availability of a particular service shall be intimated through e-mail, written communication or the web page of the Member or any other mode the Member may decide. The Constituent shall comply and observe the applicable laws and regulations in this regard.
54. The Constituent shall be fully responsible and not the Member in any manner while transferring the funds through the gateway facility. The Constituent shall not involve the Member as a party to such transaction.

G. Settlement

55. The Constituent agrees that all payments due to the Member will be made within specified time and

in the event of any delay, the Member may refuse, at its discretion, to carry out transaction on behalf of the Constituent. The Constituent agrees that alternatively, the Member may, at its sole discretion, square off such transaction or closeout the position and the costs / losses if any, thereof shall be borne solely and completely by the Constituent. All payments made to the Member shall be from the account of the Constituent and shall not be from any third party.

56. All delivery to be effected to the Member for trade must be made within 24 hours from the execution of the sale order or 1 day prior to Pay-in date whichever is earlier, or at time of placing trade order at sole discretion of the Member. Losses, if any, that may accrue in the event of default in completing the delivery on the Exchange by the Member as a result of any delay in the delivery by the Constituent shall be borne solely and completely by the Constituent. Losses for the purposes of this clause shall include the auction debit / penalty charges etc, if any incurred as result of non-delivery of securities on the settlement date on the Exchange. No third party shares will be sold through the Member or third party Payment shall be made to the Member. If the Constituent has sold any securities in anticipation of receipt of securities from the Exchange against purchase in previous settlements, such sale shall be at the sole risk as to costs and consequences there of the Constituent.
57. The Member may directly credit the demat account of the Constituent with the depository participant. Provided that if the order placed by the Constituent through the Website or otherwise is for securities which are in the no-delivery period, such securities shall be credited to the trading account of the Constituent only at the time of settlement of trades, as per the schedule of the Exchange. However if any sum is due from Constituent, the Member may withhold the credit of securities to the demat account of the Constituent. The Constituent authorizes the Member to withhold the securities to meet liabilities of Constituent to the Member under these terms and conditions.
58. Member is entitled to consider any sum or money or security lying to the credit as margin received.

H. Representation and Warranties:

59. The Constituent hereby warrants that he is capable of executing the Agreement and that the terms of these presents are not in contravention of any rights of any party with whom such Constituent has any arrangements at any time prior to the execution of the Agreement.
60. Though these terms and conditions have been divided into sections governing transactions in various segments / services, the same shall be binding on the parties in their entirety. Entering in to the Agreement and / or confirming these terms and conditions governing transaction in multiple segments / services shall not be reason for disputing any transaction or account of Constituent with Member.
61. The Constituent states that he has opened / agrees to open a valid and subsisting demat account with the depository participant suggested by the Member.
62. The Constituent agrees to provide and continue to provide all details about him as may be required by the Member including, but not limited to Permanent Account Number (PAN) and states that all details and facts represented to the Member are true.
63. The Constituent warrants that all or any securities deposited by him with the Member in respect of margin requirements or otherwise are owned by him and that the title thereof is clear and free of encumbrances.
64. The Constituent shall abide by the provisions of the Exchange and the terms and conditions stipulated by the member and in force from time to time. Any changes in terms and conditions governing the provisions of E-Trading services would be intimated to the Constituent by electronic mail and / or posting of the same on the Website at sole discretion of the Member.

I. Fees and Brokerage

65. The Constituent agrees to pay the Member brokerage, commission, fees, clearing & transaction charges, service tax, education cess, stamp duty, SEBI turnover charges, securities transaction tax, depository charges and charges applicable to mutual fund units transactions and other charges & taxes

which may exist from time to time as they apply to the Constituent's account and transactions, and for the services that he receives from the Member. The Member shall charge brokerage to the Constituent as mutually agreed and modified from time to time. The Member may specify different structure of charges for executing transaction instructions received from the Constituent through different channels and the Constituent agrees to abide by such structure of charges.

66. The Constituent agrees that the Member or any of its affiliates may charge user fees for the use of any other services including but not restricted to E-Trading ancillary services, use of Website platform and dial up services at rates at the rates mentioned on the Website or otherwise intimated and as modified from time to time. The Member or any of its affiliate may charge any other relevant change in the manner intimated on the Website or in any manner from time to time including but not limited to membership fees, subscription fees, renewal fees, Commissions, Service Tax, turnover charges, Tax expenses incurred, stamp duty etc. as applicable.

J. Indemnity

67. The Member shall be indemnified by the Constituent in case of any Action initiated against Member by any party not privy to this contract and it shall be the duty of the Constituent to bear out of their funds all costs losses and expenses which Member may occur or become liable to pay by reason of any event in course of the use of the said services of the Constituent.
68. The Constituent shall indemnify and keep indemnified the Member harmless from and against all claims, demands any actions, proceedings, loss, damages, liabilities, penalties, fines, levies, imposts, charges and for expenses that are occasioned or may be occasioned to the Member directly or indirectly as a result of bad delivery of shares / securities and / or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced that by or through the Constituent during the course of his dealings / operations on the Exchange or on the account of breach by the Constituent of its representations, warranties, covenants, undertakings and obligations herein.
69. The Constituent hereby agrees to indemnify the Member and its employees against any loss, costs, expenses, etc, that may be suffered by the Member or against any claim, demand, Action, proceeding that may be initiated against the Member or its agents or non-compliance of any applicable Rules and Regulations or arising out of or in connection with breach of any of the Constituent obligations under the Agreement and / or these terms and conditions or any modifications thereto.

K. Investment or other advice

70. The Constituent agrees that none of the services available on the Website or through any literature or brochure issued by the Member shall amount to investment advice on the part of the Member.
71. The Constituent may access or be able to access investment research reports or opinions through the Internet or the Website including but not limited computerized online services or other media. The availability of such information does not constitute a recommendation to buy or sell or hold or transact in any of the investment products or securities available or made available with or by the Member. Any and all investments decisions will be based on the Constituent's own evaluation of financial circumstances and investment objectives and Constituent's assessment of capital to be put to risk. Any real time quotes provided are only for Constituent's individual use and Constituent shall not furnish such data to others.

The Constituent agrees that each participating exchange or association or agency or individual or person that supplies any data displayed on the website asserts a proprietary interest in such data. Neither the Member nor any participating exchange or association or agency or individual or person or any supplier of market or based data guarantee the timeliness, sequence, accuracy, completeness, reliability or content of market information, or message made available on the Website and same available on an "as is" basis without warranties of any kind, either express or implied including without limitation those of merchantability and / or fitness for a particular purpose.

72. The Constituent acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.

73. The Constituent also acknowledges that the Member's employees are not authorized to give any such advice and that Constituent will not solicit or rely upon any such advice from Member or any of its employees.
74. The Constituent agrees that in the event of the Member or its employee or official providing any information, recommendation or advice to the Constituent, the Constituent may Act upon the same at the sole risk and cost of the Constituent, and the Member shall not be liable or responsible for the same.
75. The Constituent assumes full responsibility with respect to his investment decisions and transactions.
76. The Member, its officers, directors, partners, employees and affiliates will have no liability with respect to any investment decisions or transactions of the Constituent.

L. Information

77. The Constituent agrees to furnish such details including details as regards financial position, assets, liabilities etc. as and when required to do so by Member.

M. Insider Trading, Manipulative, Fraudulent and unfair trade practices

78. The Constituent hereby agrees that he has fully understood and is aware of Securities and Exchange Board of India (Prohibition of Fraudulent and Unfair Trade Practices Relating to Securities market) Regulations, 2003, and the SEBI (Prohibition of Insider Trading) (Amendment) Regulations, 2019. The Constituent represents, warrants and agrees that he shall not indulge into any Act or carry out any transaction or transactions, directly or indirectly which are in violation of Acts, Rules, Regulations, Bye-laws and circulars governing securities transactions. The Constituent further agrees to provide such information as may be sought by the Member in connection with any enquiry or investigation from any authority and shall provide all necessary assistant as sought by the Member.

N. Market Data

79. The Constituent understands that the Exchange asserts a proprietary interest in all of the market data in furnishes, directly or through the Member or otherwise. The Constituent understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it. Neither the Member nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the Constituent acts on the basis of the same, he shall do so at his own risk and cost.
80. The Constituent shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Constituent uses such information he shall do so at his own risk and cost. Constituent is authorized to use at the Constituent's risk materials which are made available by Member services for the Constituent's own needs only and the Constituent is not authorized to resell or permit access to such materials or to take copies of any such materials or sale or supply to or use by others. The Constituent will not delete Registered Trademarks, copyright or any other intellectual property rights, if any, notices from any such materials.

O. Reserve Bank Of India Guidelines

81. The Constituent is aware that as per the RBI Guidelines, the Foreign Institutional Investors (FIIs), Non Resident Indians (NRIs), and Persons of Indian Origin (PIOs) are allowed to invest in the secondary capital markets in India through the Portfolio Investment Scheme (PIS). Under this scheme, FIIs / NRIs can acquire the shares / debentures of Indian companies through the Stock exchanges in India. These investments are governed and monitored on daily basis by Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, RBI advices all designated bank branches to stop purchases on behalf of their FIIs / NRIs / PIOs Constituents. RBI also informs the general public about the 'caution' and 'stop purchase' in these

companies through press release. Constituent being FII / NRI / PIO hereby acknowledges that he is aware of the RBI Guidelines in relation to investment in the secondary market in India. Constituent hereby agrees to keep himself abreast of the ceiling limits on the investments as published by RBI from time to time and also agrees that he shall immediately reverse his transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case Constituent does not / is unable to reverse such transaction immediately, Constituent authorizes the Member to do so under intimation to Constituent.

P. Miscellaneous and other terms and provisions.

82. Invalidity or unenforceability of any provisions of these terms & conditions in any jurisdictions shall not effect the validity, legality or enforceability of the remaining terms and conditions in such jurisdiction.
83. The closure of the account of Constituent shall automatically terminate the web based brokerage service facilitated by the Website and the Member may suspend or terminate Internet trading services without prior notice if Constituent has breached these terms and conditions or it learns of the death, bankruptcy or legal incapacity of Constituent.
84. No forbearance, relaxation, failure or delay by the Member in exercising any right, power or privilege hereunder shall operate as a waiver thereof nor shall any single or partial exercise of any other right, power or privilege. The rights and remedies available to the Member herein provided shall be cumulative and not exclusive of any rights or remedies provided by law.
85. Receipt / Payment in the form of cash from / to the Constituent is prohibited by the SEBI and no branch, employee, agent or broker is authorized to receive or pay cash to the Constituent.
86. Member presumes that the Constituent is aware of the various provisions of the Securities Contracts Regulations and also various circulars issued by SEBI & exchange from time to time. Please note that all relevant provision are available on the SEBI & exchange websites and the same can be referred.
87. Any modification to these terms and conditions shall be intimated to the Constituent by suitable modification to the terms & conditions or other applicable section on the Website or in any other manner. The Constituent agrees that a modification to the information in the terms & conditions section on the Website or any other applicable section and a display of the modification to the circumstances of the Constituent shall be sufficient notice to the Constituent to take note of such modification.
88. The Constituent agrees that the Member may at any time during the subsistence of these presents without requirement of issuing any notice to the Constituent assign, transfer or otherwise alienate by executing an agreement or any other manner all or any of its rights and / or obligations in terms of these presents to any person or entity including but not limited to its affiliates associates or sister companies and the rights and obligations of the Member under these conditions or any amendment or modification hereto shall vest & ensure for such assignee without any further Act, deed, matter or thing and the Constituent agrees to the same.
89. The Failure on the part of the Member from taking any Action against the Constituent for any breach or breaches of the Agreement and / or these terms and conditions shall not constitute a waiver by the Member of any subsequent or continuing breach thereof by the Constituent.
90. The Member shall not be responsible for delay or default in the performance of its obligations due to contingencies beyond its control including but not limited to losses, delays or defaults caused directly or indirectly by Exchange or market rulings, suspension of trading, fire, flood, civil commotion, earthquake, war, tempest, arson, riot, Act of state, Act of terror, strikes, failure of the systems, failure of the internet links, or government / regulatory Action. Without limiting the generalities of the foregoing, the Member specifically disclaims any guarantee or warranty that (a) the Internet Trading Services will be secure uninterrupted or error free; (b) that there are no viruses or harmful content on or in the Website; (c) that the content on the Website are accurate, reliable, timely, legal, and of any specific quality.

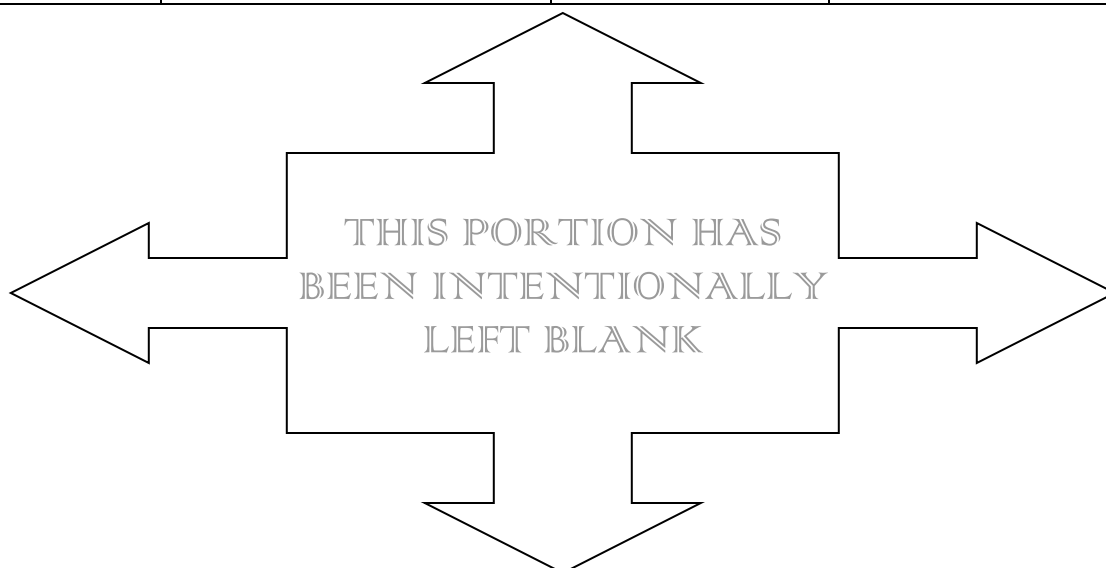
Q. Jurisdiction

- i. **India Jurisdiction:** The Member and the Constituent declare and agree that the transactions executed on the Exchange are subject to the Rules, Bye-laws and Regulations and circulars issued thereunder of the Exchanges. This agreement shall be governed by and construed in all respects in accordance with the Laws of Republic of India and subject to the provisions of this agreement, the Courts of Mumbai, India shall have jurisdiction over this agreement and the arbitration proceedings in relation to the agreement.
 - ii. **Foreign Jurisdiction:** This service does not constitute an offer to sell or a solicitation of an offer to buy any shares, securities or other instruments to any person in any jurisdiction where it is unlawful to make such an offer or solicitation. This service is not intended to be any form of an investment advertisement, investment advice or investment information and has not been registered under any securities law of any foreign jurisdiction where it maybe lawful to offer such a service. Further no information on the website is to be construed as a representation with respect to shares, securities or other investments regarding the legality of an investment therein under the respective applicable investment or similar laws or regulations of any person or entity accessing the website.
91. The Constituent agrees that under no circumstances, including negligence, shall Member or anyone involved in creating, producing, delivering or managing the Internet Trading Services be liable for any direct, indirect, incidental, special, general, remote or consequential damages arising out of the use or liability to use or the availability or non-availability of the said services including but not limited to loss or damage in relation to; (a) loss of profits, trading losses, loss of opportunity or damages that result from interruption; (b) delay or loss of the claim, loss or damage attributable to errors, omissions or other inaccuracies in the content or data on the Website; (c) any unauthorized use, access or alteration or discontinuance of the said services; (d) any other matter relating to the said services.
 92. Certain securities may grant the holder thereof valuable rights, that may expire unless the holder takes Action. The Constituent shall be responsible for knowing the rights and terms of all securities acquired by the Constituent and the Member shall not be obliged to notify the Constituent of any upcoming expiration and redemption date, or take any other Action on the Constituent's behalf, except as required by law and applicable Exchange provisions. The Constituent shall also be responsible for knowing about re-organization related to securities which the Constituent holds including, but not limited to stock splits. If due to a reorganization or book-keeping or data entry error, the Constituent sells more security than what is Actually owned by the Constituent, then the Member shall not be responsible for any losses that the Constituent may incur by reason thereof.
 93. The Constituent understands and agrees that the services offered by the Member herein are being provided by the Member with the assistance and technology of some third parties. The Member disclaims liability and responsibility, and the Constituent agrees and accepts that the Member shall not be liable or responsible, for and in relation to any and all loss or damage (real or notional) incurred or suffered by the Constituent or anyone else as a result of any Action, advice, failure or default attributable to such third party.
 94. Any notice, information or communication to be given by the Constituent to the Member in connection with these terms and conditions shall be in writing and shall be deemed duly served if delivered personally or by prepaid registered post to the Registered / corporate office address of the Member. Any notice to be given by the Member to the Constituent in connection with these terms and conditions shall be in writing and shall be deemed duly served if sent by courier or prepaid registered post to the address or the e-mail address available with the Member.
 95. Notwithstanding anything stated above, communication relating to order, margin / collateral, maintenance calls and other similar matters by the Member to the Constituent may at the option of the Member, be communicated to the Constituents or its representative orally and / or by facsimile / mail / posting on the website by the Member.
 96. The Constituent may terminate this letter of confirmation document at any time by giving a notice of 60 days to Edge Securities Pvt. Ltd. In such an eventuality, Edge Securities Pvt. Ltd. may terminate

the Internet trading facility offered to the Constituent with immediate effect.

97. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder. The heading of each provision hereof is for descriptive purposes only, and shall not be deemed to modify or qualify any of right or obligations set forth in each such provision.
98. This agreement can be altered, amended and / or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, 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 Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.
99. In this agreement, unless the context specifies otherwise, reference to the singular includes a reference to the plural and vice versa, and reference to any gender includes a reference to all other gender. All references to the specific quantity / rate / fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

For Edge Securities Pvt. Ltd.			
Authorised Signatory		16/24 Client Signature (C) _____	
Witness Name		Witness Name	
Witness Address		Witness Address	
Signature	(W)	Signature	(W)



AUTHORISATION LETTER TO MAINTAIN RUNNING TRADING ACCOUNT

EDGE SECURITIES PVT. LTD.717, Dalamal Tower,
211, Nariman Point,
Mumbai – 400 021.

Date _____

Sir,

I am regularly Trading with you for Cash & Derivative Market in BSE. I hereby authorized you to do following on our behalf:

1. You are requested to adjust any trade related amounts receivable from us against any credits standing into our account or from our forthcoming pay-outs payable to us.
2. We request you to maintain running balance in my account instead of settlement of my trade related financial debits/credits on a bill-to-bill basis towards our margin / pay-in / other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless we instruct you otherwise and to settle the collaterals provided by me/us as per my preference mentioned hereunder.
3. However, the actual settlement of funds and collateral shall be done by you at an exception of retention of Rs. 10000/- in view of administrative difficulty to settle the account based on my consent below:
 - Once in every 30 days
 - Once in every 90 days
4. Any excess securities available in your Client Collateral / Collateral account shall be released to me/us along with funds settlement after making necessary retention of funds and/or collateral as may be permitted by regulators from time to time.
5. We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds / collateral or statement of account or statement related to it, as the case may be at your registered office. After that we shall have no right to dispute the transaction, funds and/or collateral ever and agree that you shall not be liable for any incidental loss / damage caused due to retention of funds and / or collateral.
6. In case of our request / demand, you shall transfer the funds / securities within 1 working day if lying with you or within 3 working days if lying with exchange / clearing house.
7. We are also aware that this authorization can be revoked at any time at my/our own discretion in writing.

I/We have noted the following:-

- 1) The authorization shall be signed by me/our only and not by any power of attorney holder or by any authorized person.

Client Name _____

17/24

 Client Signature (C) _____

AUTHORITY LETTER

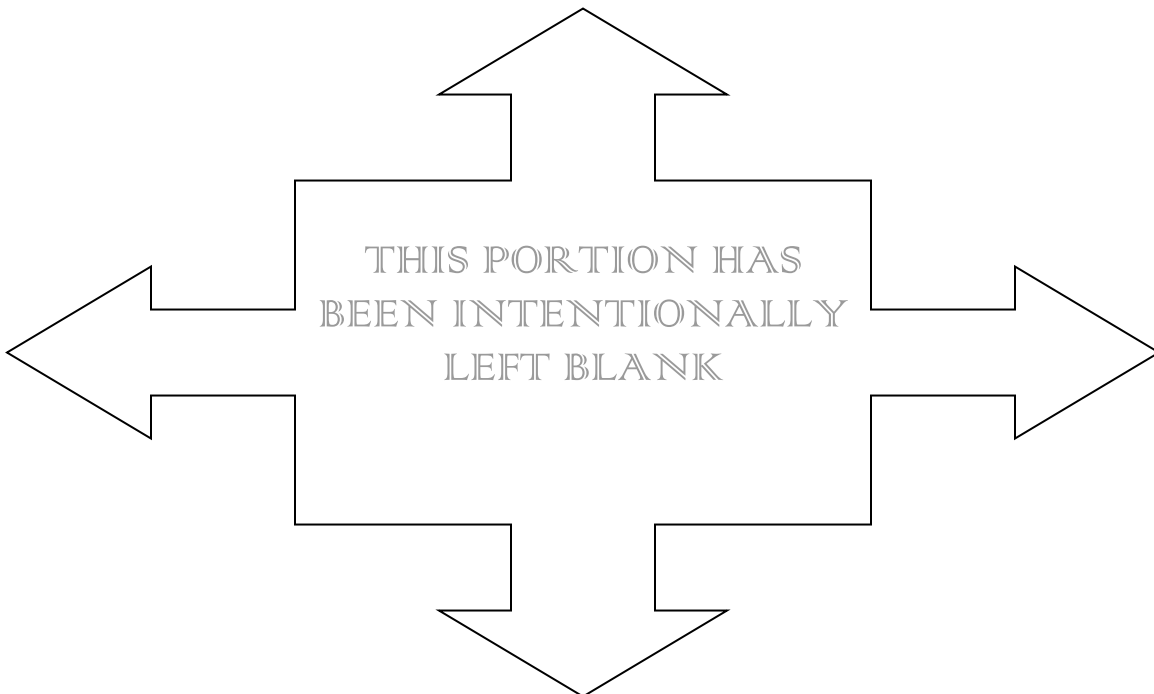
I appoint Mr./ Ms / Mrs. _____ to Act as my authorized representative to sell, purchase, transfer, endorse, negotiate and / or otherwise deal in securities (including Derivative products) on my behalf. I agree to ratify & confirm whatsoever shall be done by the aforesaid authorized representative.

Further, I authorize him / her to collect the contract notes / bills and ledger copy and any other document on my behalf from the Member's office and give acknowledgement.

If any transaction(s) under the Agreement or under any other agreement or otherwise with Member has / have been executed on behalf of the Constituent by any other person, other than a person authorized by the Constituent on behalf of the Constituent and the same has / have been accepted by the Constituent from time to time on the basis of the contract note(s) / bills / any other correspondence dispatched / communicated to the Constituent by the Member and / or by part or full settlement of the of the said transaction(s) by the Constituent, then such transaction shall be deemed to be executed by such person under authority of the Constituent and the Constituent hereby agrees to ratify and accept all such or other Actions of such person and undertakes to meet all obligations arising from these transaction(s).

Client Name _____

Client Signature ^{18/24} (C) _____



LETTER OF STANDING INSTRUCTIONS

I am aware that the below mentioned points are voluntary and I have an authority to set aside or revoke any of them, by communicating in writing, whenever I want to. I am giving this authorization for my operational convenience.

From:

Name of the Client: _____

Client Code: _____

Address: _____

Date: _____

To,

Trading Member: **Edge Securities Pvt. Ltd.**

717, Dalamal Tower,

211, Nariman Point.,

Mumbai - 400 021.

Respected Sir,

Sub: Letter of Standing Instructions

I hereby willfully and unconditionally issue following standing instructions with references to personal discussion between us:


1. I am agreeable that the credit balance of funds and shares be treated as margin for both cash and derivatives segment.
2. I am agreeable for transfer of credit balances in margin account / client account of cash segment towards adjustment debit balance in margin account / client account of derivatives segment and vice versa.
3. I am agreeable for transfer of credit balances in margin account / client account of cash segment of (BSE) against debit balance in margin account / client account of derivatives segment of (BSE) and vice versa.
4. I am agreeable for inter-settlement transfer of securities towards pay-in / pay-out of securities in the future / past settlements.
5. I am agreeable for and authorise you to withheld funds pay-out towards all the applicable margins and debits.
6. As regards the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me in complying the same, I would request you to accept orders placed by me during my physical presence at your office or orally on telephone.
7. I have noted that you trade on your PRO/OWN account
8. I shall not indulge in any sub-broking activities nor issue bills / contracts / confirmation notes to anyone else for trades done in our client code.
9. All fines / penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my accounts.

These standing instructions are valid from the date mentioned above and will be valid until revoked.

Thanking You,

Yours Faithfully,

Client Name _____

19/24
 Client Signature  _____

BANK CONFIRMATION LETTER

Date :

From :

To,

The Manager

Ref. : Saving / Current A/c No. _____

Sir,

I am having Saving / Current A/c. No. _____ with your bank since _____ kindly verify my signature & certify it with date of opening the account.

Kindly do the needful & oblige

Thanking you,
Yours faithfully

20/24

Ⓒ _____

DOC - 12

PART - B

VOLUNTARY

DECLARATION BY PARTNERSHIP FIRM

Date: _____

To,
Edge Securities Pvt. Ltd.
717, Dalamal Tower,
211, Nariman Point,
Mumbai - 400 021.

Client Name: _____
Address: _____

Dear Sirs,

We refers to the trading account opened with you in the name of _____
_____ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a Partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no. : _____ with depository _____ opened as joint account in the name partners of the firm as the demat account of the firm.

SR. NO.	NAME OF PARTNERS	SIGNATURES
1.		
2.		
3.		
4.		
5.		
6.		
7.		

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

21/24

Ⓒ

Signature by all Partners of the firm.

with rubber stamp

BOARD RESOLUTION

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS / TRUSTEES OF _____ LTD. / TRUST AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____ 20_____ AT _____ AM / PM.

“RESOLVED THAT the Company / Trust be registered as Constituent with **Edge Securities Pvt Ltd.** Member of Bombay Stock Exchange Limited (BSE) at Cash & Derivatives Segments, for the purpose of dealing in equities, derivatives, debentures, debts and other products and the said Member be and is hereby authorised to honour instructions oral or written, given on behalf of the Company / Trust by any of the following authorised signatories:

Sr. No.	Name	Designation	Specimen Signatures
1			
2			
3			
4			

who are authorised to sell, purchase, transfer, endorse, negotiate and / or otherwise deal with / Through **Edge Securities Pvt Ltd.** on behalf of the Company / Trust.

RESOLVED FURTHER THAT Mr./Ms. _____ and / or Mr. /Ms. _____ Directors / Trustees of the Company / Trust be and are hereby authorised to sign, execute and submit such applications undertaking, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT all the Directors would have authority to act on behalf of the Company and actions of any directors will be binding on the Company.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any one / two Directors of the Company and Company Secretary who shall sign the same in token of their presence.”

Certified true copy

For _____

Chairman / Directors / All Trustees

22/24 *with rubber stamp*

HUF DECLARATION

Date: _____

To,

Edge Securities Pvt Ltd.
717, Dalamal Tower,
211, Nariman Point,
Mumbai - 400 021.

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. _____

SR. NO.	NAME OF FAMILY MEMBERS	RELATIONS	DATE OF BIRTH
1.			
2.			
3.			
4.			
5.			
6.			
7.			

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,
Yours truly,
23/24

Ⓒ _____

Karta
(Affix Stamp of HUF)

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

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.

*(*The above listed documents are a minimum requirement for the purpose of client registration. The company may call for additional documents which may be relevant for the purpose of verification or to meet any other statutory requirements or obligations which may be specified in future.)*

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 apostilled 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. For Non-individuals:

Corporate

1. Copy of the balance sheets for the last 2 financial years (to be submitted every year).
2. 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).
3. Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
4. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
5. Copies of the Memorandum and Articles of Association and certificate of incorporation.
6. 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.
7. Authorised signatories list with specimen signatures.

Partnership firm

1. Copy of the balance sheets for the last 2 financial years (to be submitted every year).
2. Certificate of registration (for registered partnership firms only).
3. Copy of partnership deed.
4. Authorised signatories list with specimen signatures.
5. Photograph, POI, POA, PAN of Partners.

Trust

1. Copy of the balance sheets for the last 2 financial years (to be submitted every year).
2. Certificate of registration (for registered trust only).
3. Copy of Trust deed.
4. List of trustees certified by managing trustees/CA.
5. Photograph, POI, POA, PAN of Trustees.

HUF

1. PAN of HUF.
2. Deed of declaration of HUF/ List of coparceners.
3. Bank pass-book/bank statement in the name of HUF.
4. Photograph, POI, POA, PAN of Karta.

Unincorporated association or a body of individuals

1. Proof of Existence/Constitution document.
2. Resolution of the managing body & Power of Attorney granted to transact business on its behalf.
3. Authorized signatories list with specimen signatures.

Banks/Institutional Investors

1. Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.
2. Authorized signatories list with specimen signatures.

Foreign Institutional Investors (FII)

1. Copy of SEBI registration certificate.
2. Authorized signatories list with specimen signatures.

Army/ Government Bodies

1. Self-certification on letterhead.
2. Authorized signatories list with specimen signatures.

Registered Society

1. Copy of Registration Certificate under Societies Registration Act.
2. List of Managing Committee members.
3. Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
4. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS (On Letterhead)

Acknowledgement Receipt

Date:

Application No. :

Name: _____

Client Code: _____

Email Id: _____

To
Edge Securities Pvt Ltd
Nariman Point (Mumbai)

Dear Sir(s),

Sub: Confirmation of the receipt of executed client registration documents.

With reference to my registration as Client with you for BSE Ltd, I hereby confirm that I have received the copies, read and understood the following documents executed by me for opening of my trading account opened with you.

1. Risk Management Policy
2. Know your Clients (KYC) Form
3. Risk Disclosure Document (RDD)
4. Rights and Obligations Document
5. Do's and Don'ts Guidance Note
6. Tariff Sheet
7. Policies and Procedures
8. Running Account Letter
9. All other mandatory and voluntary client registration documents.

Name of the Applicant	
Client Code allotted (UCC)	

24/24

©

Signature of Client