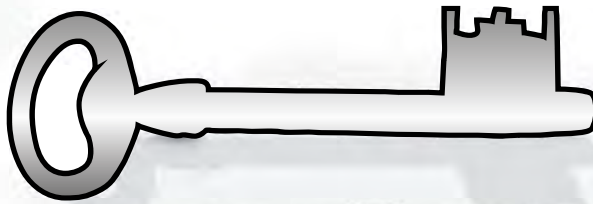




fast CAPITAL MARKETS LIMITED

SUITE # 10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020, INDIA
 Ph. : + 91 33 4056 4545 / 4546, Fax. : +91 33 4056 4547
 Email : info@fasttrade.co.in
 www.fasttrade.co.in



Inspiring Trust



Creating Value

CLIENT REGISTRATION KIT

CLIENT NAME					
CLIENT CODE			REGN.DATE		
Individual	<input type="checkbox"/>	HUF	<input type="checkbox"/>	NRI	<input type="checkbox"/>
Foreign National	<input type="checkbox"/>	Joint A/c.	<input type="checkbox"/>	Corporate	<input type="checkbox"/>
CM	<input type="checkbox"/>	Trust	<input type="checkbox"/>	Others	<input type="checkbox"/>

NSE-CM

BSE-CM

NSE-FO

BSE-FO

NSE-CDS

BSE-CDS

MSEI-CDS

FAST CAPITAL MARKETS LIMITED

PLEASE READ "FCML" AS "FAST CAPITAL MARKETS LIMITED" WHERE EVER IT APPEARS.

REGISTERED & CORRESPONDENCE OFFICE	SUITE #10, " CALCUTTA MANSION" 4, BISHOP LEFROY ROAD, KOLKATA 700020, INDIA T. +91 33 4056 4545 / 4546. FAX : +91 33 4056 4547 E. info@fasttrade.co.in ; W. www.fasttrade.co.in
COMPLIANCE OFFICER NAME, TEL & EMAIL	MANOJ KUMAR MOHNOT. +91 33 4056 4506. manoj.mohnot@fasttrade.co.in
CEO NAME, TEL & EMAIL	BINAY K. AGARWAL. +91 33 4056 4507. bka@fasttrade.co.in
Clearing Member : NSE (FO & CDS); BSE (FO & CDS); MSEI (CDS) IL & FS Securities Services Ltd. : IL & FS House, Plot 14, Raheja Vihar, Chandivali, Andheri (E), Mumbai 400072. Tel. : 022 42493000 SEBI Regn No. : • NSE (Clearing Code : C50008) INF231133630; INE231308334 MSEI (Clearing Code 34) INE 261313337 • BSE (Clearing Code 807) INF011133834 ; INE011311532	

SEBI REGISTRATION NUMBERS & DATE

NATIONAL STOCK EXCHANGE OF INDIA LIMITED	CAPITAL MARKET SEGMENT	INB231294738	13.03.2008
NATIONAL STOCK EXCHANGE OF INDIA LIMITED	FUTURES & OPTIONS SEGMENT	INF231294738	13.03.2008
NATIONAL STOCK EXCHANGE OF INDIA LIMITED	CURRENCY DERIVATIVES SEGMENT	INE231294738	27.08.2008
BOMBAY STOCK EXCHANGE LIMITED	CAPITAL MARKET SEGMENT	INB011294734	27.07.2010
BOMBAY STOCK EXCHANGE LIMITED	FUTURES & OPTIONS SEGMENT	INF011294734	27.07.2010
BOMBAY STOCK EXCHANGE LIMITED	CURRENCY DERIVATIVES SEGMENT	INB011294734	04.03.2016
METROPOLITAN STOCK EXCHANGE OF INDIA LTD.	CURRENCY DERIVATIVES SEGMENT	INE261294738	01.10.2008

ANNEXURE - A

IN CASE OF ANY GRIEVANCE / COMPLAINT AGAINST FAST CAPITAL MARKETS LIMITED, Please Contact FCML at the above address or email us at our Investor Grievance Email ID-grievances@fasttrade.co.in and call us at +91 33 4056 4545

OR, Please contact Mr. Manoj Kumar Mohnot (Compliance Officer) of FAST CAPITAL MARKETS LIMITED
Email ID : manoj.mohnot@fasttrade.co.in & Tel No. +91 98310 86959

OR, You may also approach Mr. Binay K. Agarwal (CEO) of FAST CAPITAL MARKETS LIMITED
Email ID : bka@fasttrade.co.in and Phone No. : +91 98300 58691

AND, If not satisfied with the response of the above / Stock Broker you may contact the concerned Stock Exchange / Depository at the following -

Exchange / DP	Web Address	Contact No	Email ID
BSE	www.bseindia.com	022-22728097	is@bseindia.com
NSE	www.nseindia.com	1800220058	ignse@nse.co.in
MSEI	www.msei.in	022-61129000	investorcomplaints@msei.in
SEBI	www.sebi.gov.in	022 26449000	investorcomplaints@sebi.gov.in

DISCLOSURE INFORMATION OF PROPRIETARY TRADING

To increase transparency in the dealings between us a Trading Member and you as a CLIENT we do hereby disclose that apart from Client based trading, we also do Proprietary Based Trading (self account) in All SEGMENTS of ALL EXCHANGES in which we are members. You are requested to please take a note of the same.

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S. NO.	NAME OF THE DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT	PG. NO.
1	ACCOUNT OPENING FORM	KYC form - Document captures the basic information about the constituent	3
2	ACCOUNT OPENING FORM PART -II	Document captures the additional information about the constituent relevant to trading account	6
3	POLICIES & PROCEDURES	Document describing significant policies and procedures of the stock broker	10
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5	INSTRUCTION / CHECKLIST	Document captures the instruction/checklist for filling KYC Form	B-2
6	RIGHTS & OBLIGATIONS	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	B-4
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FAST CAPITAL MARKETS LIMITED

REGISTERED & CORRESPONDENCE OFFICE :

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T. + 91-33 4056-4545/4546 Fax : +91 33 4056 4547 E : info@fasttrade.co.in W. www.fasttrade.co.in

PART I - KNOW YOUR CLIENT - KYC - APPLICATION FORM

FOR INDIVIDUALS ONLY

PLEASE FILL THIS FORM IN ENGLISH AND IN BLOCK LETTERS.

A. IDENTITY DETAILS

NAME OF THE APPLICANT			
FATHER'S / SPOUSE'S NAME			
GENDER	<input type="checkbox"/> MALE <input type="checkbox"/> FEMALE	PHOTOGRAPH Please affix your recent passport size photograph and sign across it	
MARITAL STATUS	<input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED		
DATE OF BIRTH	D D M M Y Y Y Y		
NATIONALITY	<input type="checkbox"/> INDIAN <input type="checkbox"/> OTHER (Please Specify)		
STATUS	<input type="checkbox"/> RESIDENT INDIVIDUAL <input type="checkbox"/> NON RESIDENT <input type="checkbox"/> FOREIGN NATIONAL		
PAN			
AADHAR NUMBER			
SPECIFY THE PROOF OF IDENTITY SUBMITTED <input type="checkbox"/> PAN CARD <input type="checkbox"/> ANY OTHER (Please Specify)			

B. ADDRESS DETAILS

<input type="checkbox"/> RESIDENCE ADDRESS /			
<input type="checkbox"/> CORRESPONDENCE ADDRESS			
CITY/TOWN/VILLAGE	PINCODE	STATE	COUNTRY
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESI. / CORRES. ADDRESS			
TEL. (OFF.)	TEL. (RES.)	FAX NO.	
MOBILE NO.	EMAIL ID		
PERMANENT ADDRESS <small>(if different from above or overseas address, mandatory for Non-Resident Applicant)</small>			
CITY / TOWN / VILLAGE	PINCODE	STATE	COUNTRY

DECLARATION

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

SIGNATURE OF APPLICANT							
	D	D	M	M	Y	Y	Y

FOR OFFICE USE ONLY

<input type="checkbox"/> Originals verified & Self Attested Documents copies received	Name of the Auth. Signatory
IPV Details : _____ (DD/MM/YYYY)	Signature of the Auth. Signatory
Employee Name : _____	Date
Employee Signature : _____	
Employee Designation : _____	03 Seal / Stamp of the Intermediary

FAST CAPITAL MARKETS LIMITED

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PART I - KNOW YOUR CLIENT - KYC - APPLICATION FORM

FOR NON INDIVIDUALS ONLY

PLEASE FILL THIS FORM IN ENGLISH AND IN BLOCK LETTERS.

A. IDENTITY DETAILS

NAME OF THE APPLICANT									
DATE OF INCORPORATION		D	D	M	M	Y	Y	Y	Y
PLACE OF INCORPORATION									
DATE OF COMM. OF BUSINESS		D	D	M	M	Y	Y	Y	Y
PAN									
REGN. NO. (eg. CIN)									
STATUS (Please Tick any one)		<input type="checkbox"/> Private Ltd. Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> Bank <input type="checkbox"/> Govt. Body <input type="checkbox"/> Non-Govt. Org. <input type="checkbox"/> Defense Estb. <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Partnership <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> BOI <input type="checkbox"/> Others (Please Specify)							

B. ADDRESS DETAILS

CORRESPONDENCE ADDRESS			
CITY / TOWN / VILLAGE	PINCODE	STATE	COUNTRY
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR CORRES. ADDRESS			
TEL. (OFF.)	TEL. (RES.)	FAX NO.	
MOBILE NO.	EMAIL ID		
REGISTERED ADDRESS (if different from above)			
CITY / TOWN / VILLAGE	PINCODE	STATE	COUNTRY

DECLARATION

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

NAME & SIGNATURE OF THE AUTHORISED SIGNATORY(IES)

D	D	M	M	Y	Y	Y	Y

FOR OFFICE USE ONLY

<input type="checkbox"/> Originals verified & Self Attested Documents copies received	Name of the Auth. Signatory
IPV Details : _____ (DD/MM/YYYY)	Signature of the Auth. Signatory
Employee Name : _____	Date
Employee Signature : _____	
Employee Designation : _____	Seal / Stamp of the Intermediary

C. OTHER DETAILS**FOR NON INDIVIDUALS ONLY**

Details of Promoters / Partners / Karta / Trustees & Whole Time Directors forming part of KYC Application Form for Non Individuals

	1st SIGNATORY	2nd SIGNATORY	3rd SIGNATORY
NAME			
Relationship With Applicant (i.e. promoters, whole time directors etc.)			
DATE OF BIRTH			
RESIDENTIAL / REGISTERED ADDRESS			
CITY / TOWN / VILLAGE			
PIN			
STATE			
COUNTRY			
TEL. (O)			
MOBILE			
PAN			
AADHAR Number (i.e. Promoter / Partner / Karta)			
DIN Number			
EQUITY % PSR Ownership Stake			
PROOF OF IDENTITY (POI)			
PROOF OF ADDRESS (POA)			
PHOTOGRAPH	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it
SIGNATURE			
Name of the Auth. Signatory			
Signature of the Auth. Signatory		Date	

PART II - TRADING ACCOUNT RELATED DETAILS

FOR INDIVIDUALS & NON INDIVIDUALS

BANK ACCOUNT DETAILS

	1st ACCOUNT (DEFAULT)	2nd ACCOUNT	3rd ACCOUNT
BANK NAME			
BRANCH NAME & ADDRESS			
BANK ACCOUNT NO.			
ACCOUNT TYPE (Saving / Current / Others - In case of NRI / NRE/NRO)			
MICR NO.			
IFSC CODE			

DEPOSITORY ACCOUNT DETAILS (PLEASE ATTACH SELF ATTESTED DOCUMENTARY - PROOF OF ALL ACCOUNTS)

DP NAME			
CDSL / NSDL			
DP ID			
BENEFICIARY ID (BO ID)			
BENEFICIARY NAME 1			
BENEFICIARY NAME 2			
BENEFICIARY NAME 3			

TRADING PREFERENCES

* PLEASE SIGN IN THE RELEVANT SEGMENT WHERE YOU WISH TO TRADE. THE SEGMENT NOT CHOSEN SHOULD BE STRUCK OFF BY THE CLIENT.

EXCHANGES	SEGMENT			
	CASH	F&O	CURRENCY	COMMODITY DERIVATIVES
NSE				
BSE				
MSEI				

If, in future, the client wants to trade on any new segment / new exchange, separate authorisation / letter should be taken from the client by the stock broker.

PAST ACTIONS

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

ARE YOU MEMBER OF ANY OTHERS STOCK EXCHANGE? Y N Please Specify

DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

If client is dealing through the authorised person, provide the following details:

AUTHORISED PERSON NAME		REGN. NO.
REGISTERED OFFICE ADDRESS		
PHONE	FAX	
EMAIL ID	SIGNATURE OF AUTHORISED PERSON	

WHETHER DEALING WITH ANY OTHER STOCK BROKER/AUTHORISED PERSON
(in case dealing with multiple stock brokers/authorised person, provide details of all)

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	

ADDITIONAL DETAILS

Whether you wish to receive Physical Contract Note or Electronic Contract Note (ECN) (Please Specify) : _____
Specify your Email id, if applicable: _____

Whether you wish to avail of the facility of internet trading/wireless technology (please specify): _____ (YES/NO)

Number of years of Investment/Trading Experience

Any other information

INTRODUCER DETAILS (OPTIONAL)

NAME OF THE INTRODUCER (SURNAME-NAME-MIDDLE NAME)			
STATUS OF THE INTRODUCER	<input type="checkbox"/> Sub-broker	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Employee
	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Others, please specify.....	
ADDRESS OF THE INTRODUCER			
MOBILE / PHONE OF THE INTRODUCER		SIGNATURE OF THE INTRODUCER	

NOMINATION DETAILS	FOR INDIVIDUAL ONLY
--------------------	---------------------

<input type="checkbox"/> I/WE WISH TO NOMINATE <input type="checkbox"/> I/WE DO NOT WISH TO NOMINATE		PHOTOGRAPH OF THE NOMINEE Please affix your recent passport size photograph and sign across it
NAME OF THE NOMINEE		
RELATIONSHIP WITH THE APPLICANT		
PAN OF NOMINEE		
DATE OF BIRTH OF NOMINEE		
ADDRESS OF THE NOMINEE		
PHONE NO. OF THE NOMINEE	SIGNATURE OF NOMINEE	

If Nominee is a minor, details of Guardian		PHOTOGRAPH OF THE GUARDIAN Please affix your recent passport size photograph and sign across it
NAME OF GUARDIAN		
ADDRESS OF GUARDIAN		
MOBILE / PHONE NO. OF THE GUARDIAN	SIGNATURE OF GUARDIAN	

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

NAME		NAME	
SIGNATURE		SIGNATURE	
ADDRESS		ADDRESS	

OTHER DETAILS	FOR INDIVIDUAL ONLY
---------------	---------------------

GROSS ANNUAL INCOME DETAILS : INCOME RANGE PER ANNUM (Please Tick Any One) <input type="checkbox"/> Below ₹ 1 Lacs <input type="checkbox"/> ₹ 1 - 5 Lacs <input type="checkbox"/> ₹ 5 - 10 Lacs <input type="checkbox"/> ₹ 10 - 25 Lacs <input type="checkbox"/> More than ₹ 25 Lacs	
OCCUPATION (Please tick any one)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Please Specify)_____
PLEASE TICK, IF APPLICABLE : <input type="checkbox"/> POLITICALLY EXPOSED PERSON (PEP) <input type="checkbox"/> RELATED TO A POLITICALLY EXPOSED PERSON (PREP)	
ANY OTHER INFORMATION	

OTHER DETAILS	FOR NON INDIVIDUAL ONLY
---------------	-------------------------

INCOME DETAILS PLEASE SPECIFY : INCOME RANGE PER ANNUM <input type="checkbox"/> Below ₹ 20 Lacs <input type="checkbox"/> ₹ 20 - 50 Lacs <input type="checkbox"/> ₹ 50 Lacs- 1 Crore <input type="checkbox"/> Above ₹ 1 Crore	
Networth Amount (₹) _____ As on date _____ (Networth should not be older than 1 year)	
PLEASE TICK, IF APPLICABLE, FOR ANY OF YOUR AUTHORIZED SIGNATORIES / PROMOTERS / PARTNERS / KARTA / TRUSTEES / WHOLE TIME DIRECTORS :	<input type="checkbox"/> POLITICALLY EXPOSED PERSON (PEP) <input type="checkbox"/> RELATED TO A POLITICALLY EXPOSED PERSON (PREP)
ANY OTHER INFORMATION	

DECLARATION

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

D	D	M	M	Y	Y	Y	Y



SIGNATURE OF THE CLIENT / (All) AUTHORIZED SIGNATORY (ies)

--

PLACE

FOR OFFICE USE ONLY

	NAME, DESIGNATION CODE OF THE EMPLOYEE	SIGNATURE	DATE
DOCUMENTS VERIFIED WITH ORIGINALS			
CLIENT INTERVIEWED BY			
IN-PERSON VERIFICATION DONE BY			
FORM CHECKED BY			
AUTHORISED & APPROVED BY			
BACK OFFICE CODE FED BY			
BACK OFFICE CODE CHECKED BY			
A/C. CODE UPLOADED BY			

We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also given/sent him a copy of 'Rights and Obligations' document (s), Risk Disclosure Document (RDD), Guidance Note and made him aware of the contents therein. 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 Risk Disclosure Document (RDD) would be made available on our website for the information of the clients.

NAME OF THE AUTHORISED SIGNATORY		
SIGNATURE OF THE AUTHORISED SIGNATORY	DATE	SEAL/STAMP OF THE INTERMEDIARY

POLICIES & PROCEDURES

- a) **Refusal of Orders For Penny Stocks :**
FAST CAPITAL MARKETS Limited shall have absolute discretion to term a stock as "PENNY". As per our policy, "PENNY STOCK" can be referred to as the stocks which are appearing in the list of illiquid securities issued by the Exchanges every month and any other stocks which FCML might consider to be illiquid. The details of such stocks will be posted on the website of FCML.
FCML at its discretion can accept, refuse or partially accept any buy or sell order for execution from the client in respect of such scrips. FCML may allow restrictive acceptance of orders in such scrips and may demand appropriate declarations and additional margin from the client before accepting order of such stocks. FCML may cancel orders in such scrips received by the clients before execution or partial execution or place any other kind of restrictions on the trade on such scrips without assigning any reasons thereof to the client.
FCML shall not be responsible for any consequential opportunity loss or financial loss that a client may incur from delay or non execution of orders in penny stock.
- b) **Setting up Client's Exposure Limits :**
FCML may give an exposure limit which would be a multiple (ranging between one to five times) of the clear ledger balance in the account plus value of the shares given as collaterals computed after applying appropriate haircut. In F&O Segment exposure is given on the value of initial margin, after applying appropriate hair cut on the securities given as collateral. The exposure limit may be changed based on the volatility in the market and quality of collaterals. FCML may set different exposure limits varying for different clients depending on the credit worthiness, integrity and past conduct of the client. The client agrees that FCML shall not be responsible for such variation, reduction, imposition or the clients inability to route any order through FCML's trading systems on account of any such variation, reduction or impositions of limits.
- c) **Applicable Brokerage Rate :**
FCML follows the policy of charging brokerage not more than the maximum permissible brokerage as per the rules and regulation of exchange/SEBI. Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration. The brokerage slab of a client shall be reviewed at intervals after assessment of the amount and quality of volume generated by the client as per his commitment. The rates may be increased with prospective effect at 15 days notice sent to the Email address or postal address of the client registered with FCML. The brokerage amount debited to the client does not include any exchange related charges or statutory levies as applicable. Any other applicable taxes imposed by statutory authority including securities transaction taxes, duties, service tax, etc will be paid by the client separately as may be levied on the transactions from time to time.
- d) **imposition of Penalty/Delayed Payment Charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)**
Clients will be liable to pay late pay in / delayed payment charges not exceeding 1.5% per month for not making payment of their pay-in obligation on time as per the exchange requirement or net ledger debit balance as applicable.
The client agrees that FCML may impose fines/penalties for any orders / trades / deals /actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where FCML has to pay fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.
- e) **The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of clients' dues (This shall be limited to the extent of settlement/margin obligation)**
FCML shall be entitled to liquidate client's securities, both unpaid securities as well as collaterals deposited towards margins or close out client's open position for non-payment of margins or other amounts including the pay-in obligation, outstanding debts etc and adjust the proceeds of such liquidation / close out, if any, against the clients liabilities / obligations. Any and all losses and financial charges on account of such liquidations / closing out shall be charges to and borne by the client.
In case the payment of the margin / security is made by the client through a bank instrument, FCML shall have absolute discretion to give the benefit/credit for the same only on the realization of clear proceeds in FCML bank account. Where the margin/security is made available by way of securities or any other property, FCML is empowered to decline its acceptance as margin/security and/or accept it at such reduced value as FCML may deem fit by applying haircuts or by valuing it by marking it to market. The stock broker has the sole discretion to decide referred stipulated margin percentage depending upon the market conditions.
The above action is at the sole discretion of FCML and may vary from client to client. It shall not be under any obligations to undertake the exercise compulsorily. FCML shall therefore not be under any obligation to compensate or provide reasons of any omission or delay on its part to sell client's securities or close open positions of the client.
- f) **Shortages in obligations arising out of internal netting of trades**
Policy for settling shortage in obligation arising out of internal netting of trades is as under:
The securities delivered short are purchased from the market on T+3 day and the purchase consideration (including all statutory taxes & levies) along with a penalty (as charged by respective stock exchanges) is debited to the short delivering seller client. In case the shares are not available for purchase for any reason then the shortage will be closed out as per the prevailing rules of the respective exchanges.
- g) **Condition under which a client may not be allowed to take further position or the broker may close the existing position of a client.**
Client unable to meet his pay-in obligation as per exchange requirement irrespective of the value of collaterals

POLICIES & PROCEDURES

available.

- Long pending debit balance in the client's account.
- Margin shortfall not compensated by the client.
- Dishonor of Cheque
- Client dealing in "illiquid" stock as declared by FCML.
- Transactions which may appear to suspicious in nature
- Where based on the happening of an event, FCML has a risk perception that further trading in the contracts / securities may not be in interest of the clients and /or the market.

h) Temporarily Suspending or Closing a Client's account at the clients request :

FCML may carry out periodic review of the client accounts and may suspend the accounts from trading (i.e. prohibiting any market transactions, only allowing client shares /ledger balance settlement to take place) under of the following circumstances:

- Where the Client is inactive for the last six months.
- Where the client has not cleared his dues after repeated reminders.
- Where Physical statements or contract notes, etc are received back undelivered and the client is not responding to update the correct address.
- Where the client is reported or known to have expired.
- Where the client lodges a complaint either directly with FCML or through the Exchange relating to alleged unauthorized Trades being executed in his account.
- Where the account in under investigation by any regulatory body.
- As per direction of the Exchanges, SEBI or any other regulatory body.
- On written request received from the client and the same can be activated on the written request of the client only.

The Client account can be closed on the written request of the client provided the client account is settled. If the client wants to reopen the account then the client has to again complete the KYC requirement.

i) De registering a client :

Notwithstanding anything to the contrary stated in the agreement, FCML shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- If the action of the client are prima facie illegal/improper or such to manipulate the price of any securities or disturb the

nomal/proper functioning of the market, either alone or in conjunction with others.

• On the death/lunacy or other disability of the Client.

- If the client being a partnership firm/any other organization, has any steps taken by the Client and/or its partners for dissolution or liquidation.
- If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the stock Broker.
- If the client has made any material misrepresentation of facts, including (without limitation) in relation to the Security.
- If the Client is in breach of any term, condition or covenant of this Agreement.
- Any suspicious information found by FCML in sites like CIBIL, world check, etc or if there is any commencement of a legal process against the client under any law in force.
- If the client forms a part of the list of debarred entities published by SEBI and/or any action is taken by NSE/BSE/MSEI/SEBI on the client.

Inactive client account will be considered as inactive if the client does not trade for a period of six months. Calculation will be done at the beginning of every month and a written request has to be made by the client for reactivation of their account.

CLIENT ACCEPTANCE OF POLICIES AND PROCEDURES STATED HEREINABOVE:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforce ability and applicability of any provision/clauses in this document under any circumstances whatsoever. These Policies and Procedures may be amended/changed by giving 15 days notice by the broker , provided the change is informed to me/us through any one or more means/methods. I/We agree never to challenge the same on any grounds including delayed receipt/non-receipt or any other reason whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/us and FCML before any court of law / judicial / adjudicating authority including arbitrator, mediator etc.



SIGNATURE OF THE CLIENT

TARIFF SHEET / BROKERAGE SLAB

Segment/Type	Cash/Capital Market		Equity Derivatives		Currency Derivatives		Commodity Derivatives	
	Rate (%)	Minimum (Rs.)	Rate (%)	Minimum (Rs.)	Rate (%)	Minimum (Rs.)	Rate (%)	Minimum (Rs.)
Delivery								
Square Up								
Futures								
Options								
Exercise/ Assignment								

(The above rates are exclusive of STT, GST, Stamp Duty, SEBI Fee, Transaction Charges & other charges, if any, which will be separately charged as per applicable rates from time to time.)



SIGNATURE OF THE CLIENT

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VOLUNTARY DOCUMENTS & FORMATS

(THE DOCUMENTS ARE VOLUNTARY IN NATURE & WILL BE MADE AVAILABLE IF CLIENTS OPTS FOR THEIR OWN CONVENIENCE)

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INFORMATION TO BE PROVIDED BY THE CLIENT IN RELATION TO THE PMLA, 2002

Name of the Client : _____ Client Code : _____

If Business / Profession : Nature of Business : _____
 Industry : _____

Details of my/our Relatives, having account with FCML

NAME	RELATIONSHIP	UCC (CLIENT CODE)

Details of the Corporate/Partnership Firm/Trust etc. where I/We am/are affiliated

NAME	ENTITY TYPE	BUSINESS NATURE	RELATIONSHIP	UCC (CLIENT CODE)

I/We agree to submit every year any one of following documents to FCML :

- | | |
|--|-------------------------------------|
| 1. Profit & Loss Account and Balance Sheet | 2. Form No. 16 (Salary Certificate) |
| 3. Self attested copy of Income Tax Return | 4. Networth Certificate |
| 5. Demat Transaction Statement & Bank Statement (for 6 months) | 6. Share Holding Pattern |

I/We confirm that I/We will immediately inform FCML in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We hereby declare that I/We do not fall under the Clients of Special Category as defined in Prevention of Money Laundering Act, 2002, or

I/We declare that I/We fall under Clients of Special Category as defined in Prevention of Money Laundering Act, 2002 (choose the relevant category as under) :

- | | |
|---|---|
| <input type="radio"/> Non resident Client | <input type="radio"/> High Net-worth Clients |
| <input type="radio"/> Politically Exposed Persons | <input type="radio"/> Companies offering foreign exchange offerings |
| <input type="radio"/> Non face to face client | <input type="radio"/> Clients with dubious reputation as per public information available etc |
| <input type="radio"/> Companies having close family shareholdings or beneficial ownership | |
| <input type="radio"/> Trusts, Charities, Non- Governmental Organisations (NGOs) and organizations receiving donations | |
| <input type="radio"/> Clients in high risk countries where existence / effectiveness of money laundering controls is suspect etc. | |

I/We intend to invest in the stock market with : [] Own Funds [] Borrowed Funds

[If Borrowed Funds, then please specify below Sources of Funds):

SOURCES OF BORROWED FUNDS (IF ANY)	AMOUNT (Rs.)

I/WE HEREBY DECLARE THAT I/WE AM/ARE BENEFICIAL OWNER OF THE TRADING / ONLINE ACCOUNT OPENED WITH FCML



SIGNATURE OF THE CLIENT

FOR OFFICE USE ONLY

RISK CATEGORY : HIGH MEDIUM LOW

KYC OF THE PERSON AUTHORISED TO GIVE INSTRUCTIONS/PLACE ORDER FOR AND ON BEHALF OF THE CLIENT

To,
FAST CAPITAL MARKETS LIMITED
 SUITE # 10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

I/We hereby authorize the following persons whose specimen signatures are appended hereunder to give instructions/place orders with FCML for buying and selling of securities and contracts on any exchanges/segments on my/our behalf.

I/We hereby also authorize the following persons to Sign, Execute and/or Acknowledge any Document including Contract Notes, Statement of Margins and Statement of Accounts etc on my/our behalf.

	1st SIGNATORY	2nd SIGNATORY
FULL NAME		
RELATIONSHIP W. APPLICANT		
DESIGNATION		
DATE OF BIRTH		
RESIDENTIAL ADDRESS		
CITY/TOWN/VILLAGE		
PIN		
STATE		
COUNTRY		
TEL. (O)		
MOBILE		
PAN Number		
UID/AADHAR NUMBER		
DIN Number		
EQUITY % PSR Ownership Stake		
PROOF OF IDENTITY (POI)		
PROOF OF ADDRESS (POA)		
PHOTOGRAPH	Please affix your recent passport size photograph and sign across it.	Please affix your recent passport size photograph and sign across it.
SIGNATURE		



AUTHORITY LETTER FOR RUNNING ACCOUNT

To,
FAST CAPITAL MARKETS LIMITED
 SUITE #10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

I/We as the Client of FCML for Trading in Capital Market Segment and/or Futures & Options Segment and/or Currency Derivatives Segment of NSE/BSE/MSEI do here by authorize FCML for the following:

1. In order to facilitate my/our smooth trading operations, I/we authorize FCML to maintain a running account, instead of settlement to settlement clearance of funds/securities due to me/us. In this regard, I/We have been informed about the SEBI circular no. MIRSD/SE/Cir-19/2009 dated December 3, 2009. I/We have read and understood the same. I/WE hereby authorize FCML to maintain a running account in all segments across the exchanges (NSE/BSE/MSEI)
2. The payout of funds/securities may be retained by FCML and no interest shall be payable by FCML on such retention. I/We further agree that FCML shall not be liable for any claim of loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds under this agreement or otherwise.
3. I/We may be trading in Capital Market Segment and/or Futures & Options Segment and/or Currency Derivatives Segment of NSE and/or BSE and/or MSEI and hence have obligations under various accounts with FCML. In this regard I/we hereby authorize FCML to act at its discretion of adjusting any credit balance under my/our various accounts against the debit in any account across segments exchanges, without taking any further instruction from me/us. I/WE also agree/understand that here shall be no inter-client adjustment for the purpose of settlement of running account.
4. I/We hereby further authorize FCML to hold and retain the said funds / securities until a request for the same is made by me/us, subject to the condition that sufficient margin in respect of my/our continued trading, across the exchange and / or across the segments of the exchanges are available with FCML. I/We further authorize FCML to keep my/our shares purchased through it, in its margin account and to deliver and/or adjust said shares against our sales in subsequent settlement i.e. inter transferring the shares from one settlement to another settlement in various segments across Exchanges unless FCML receives any verbal or written instruction from me/us to deliver the same to my/our Depository Account. Similarly, I/We authorize FCML to issue a cheque against our fund pay out only after getting an instruction from me/us. Otherwise the same will remain with FCML against my/our margin obligation towards Capital Market Segment and/or Futures & Options Segment and/or Currency Derivatives Segments.
5. I/We authorize FCML to set off a part or whole of the margin deposited by me/us against any of my/our dues, by appropriating relevant amount of funds or by sale of securities which form part of margin.
6. The instructions/authorizations made by me/us as above are revocable and can be revoked/withdrawn at any time by giving a notice in writing by me/us.
7. I/We agree that (a) in respect of derivatives market transactions, FCML may retain the requisite securities/funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the exchange, (b) in respect of cash market transactions, FCML may retain entire pay-in-obligations of funds & securities due from me/us as on the date of settlement and for next day's business, FCML may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement.
8. I/We hereby authorize FCML to pledge my/our Securities / Funds (Collaterals) as margin with the Clearing Corporation(s) of the Exchange(s) towards my/our margin / Exposure requirements.
9. I/We authorize FCML to transfer the funds / securities lying in my/our credit within one working day of the request if the same are lying with FCML and within three working days from the request if the same are lying with the Clearing Corporation(s) of the Exchange(s).
10. I/We agree that funds given towards collaterals / margins in form of Bank Guarantee (BG) / Fixed Deposit Receipts (FDR's) may not be periodically settled.
11. As per guidelines issued by SEBI / Exchanges, I/We authorize you not to settle my account if the total value of my releasable funds and/or securities is below Rs. 10,000/-.
12. I/We authorize you to actually settle my account with you

[] ONCE IN A MONTH / [] ONCE IN A QUARTER

Further, I/We confirm that I/We will bring to the notice of FCML any dispute arising from the settlement of account or settlement so made in writing within 7 working days from the date of receipts of funds/securities or settlement of account or statement related to it, as the case may be at FCML's registered office



LETTER OF UNDERSTANDING & AUTHORITY

To,
FAST CAPITAL MARKETS LIMITED
 SUITE #10, " CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

I/We as the Client of FCML for Trading in Capital Market Segment and/or Futures & Options Segment and/or Currency Derivatives Segment of NSE/BSE/MSEI do here by authorize FCML for the following:

1. I/We hereby authorize FCML not to provide me Order Confirmation /Modification /Cancellation slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request FCML to kindly accept my/our mandate holder's verbal orders/instructions in person or over phone and execute the same. I/We shall get the required details from the contract notes issued by FCML. I/We understand the risk associated with placement of verbal orders and accept the same. I/We shall not disown orders under the plea that the same was not placed by me/us.
2. Trading on all Exchanges is in electronics mode, based on connectivity through various media such as VSAT, Leased line, ISDN, Modem and VPN, as well as through a combination of technologies and computer systems to place and route orders. I/We understand that there exists a possibility of communication failure or system problems or slow or delayed response from systems or a trading halt, or any such other problem/glitch which may result in FCML not being able to establish/provide access to the trading system/network, which may be beyond FCML's control and may result in delays in processing of buy or sell orders either in part or in full. I/We shall be fully liable and responsible for any such problems/fault and shall not make any claims on FCML for the same.
3. I/We agree not to hold FCML liable or responsible for any delay or default in performance of FCML's obligations due to contingencies beyond FCML's control, such as fire, flood, civil, commotion, earthquake, riots, war, strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond FCML's control.
4. I/We hereby confirm that I/we will never sublet /allow any third party access to the trading terminal provided to me by FCML, nor indulge in/facilitate any unauthorized trading under any circumstances.
5. All fines/penalties and charges levied upon FCML due to my/our acts/deeds or transaction may be recovered by FCML from my/our account.
6. Any queries related to securities delivered by FCML would be brought to the notice of FCML within seven days of the receipt of such securities in my/our Demat Account. Otherwise it can be presumed that I/we have checked all the securities received by me/us and that they are good as per the prevailing norms.
7. I/We hereby undertake to extend all co-operation to FCML in their endeavour towards compliance with Anti-Money Laundering norms, and to not hold FCML legally liable in any manner whatsoever towards the same.
8. I/We understand that information about me/us and my/our transactions may be reported by FCML to FIU/concerned authorities/regulators without any intimation to me/us and have no objection to the same.
9. I/We hereby reconfirm and accept all the terms and conditions mentioned hereinabove.
10. I/we agree and understand that I am / we are advised not to sell shares unless lying in my/our Demat Account. However, the services pertaining to Inter-Settlement of Securities will be provided to me/us/on my/our request. Further, I understand that FCML will debit appropriate charges from my/our account for this service. FCML will not be responsible/liable for any profit/loss incurred/sustained by me/us for mistake/failure of whomsoever for Inter-Settlement of securities.
 I/We request and authorize FCML to provide me/us facility for INTER-SETTLEMENT OF SECURITIES.
11. In case of any delayed payment by me/us towards any obligation on my/our part, I hereby authorize and instruct FCML to kindly debit my Trading Account with the delayed payment charges which shall be levied by FCML at the rate of 2% per month.
12. I/We hereby authorise FCML to debit my/our Trading Account for all the charges relating to my/our Demat Account. I/We understand that the said charges in the Demat Account, are incurred from time to time and this authorisation of transferring the same to my/our trading account shall remain valid from time to time. I/We also authorise FCML to retain my/our shares till the clearance of the dues in the trading as well as demat account.
13. I/we have clearly read and understood all the points mentioned in this Letter of Authority. All the instructions are being given by me/us at my/our own free will. In case I/we wish to withdraw any of the above mentioned authorisations, I/we shall inform FCML in writing and acknowledge the same at least one week in advance from the date of withdrawal.



CONSENT LETTER FOR ELECTRONIC COMMUNICATION - ECN

To,
FAST CAPITAL MARKETS LIMITED
 SUITE #10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

- I/We hereby give my/our consent Notices to receive Contract Notes/Trade Confirmation of the Trades executed by me/us, bills and/or Margin Statement and/or Account Statement and/or notices and/or Circulars and/or amendments and/or such other correspondences and/or documents in electronic form (Strike out whichever is not opted) with reference to SEBI circular no. MRD/Dop/SE/Cir-20/2005 dated September 08, 2005 duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the Rules made there under, to my/our following email id(s) :

Email ID _____

Alternative Email ID : _____

- I/We hereby agree that FCML shall fulfill their legal obligations, if the above documents are sent electronically to the above email id(s). I/We agree that FCML will not be responsible for late/non-receipt of documents sent via electronic delivery due to change of email address/correspondence address as mentioned aforesaid . I/We also agree that FCML shall not take cognizance of out-of-office/out-of-station auto replies. I/We shall be deemed to have received such electronic mails. I/We agree that the log reports of FCML's dispatching software(s) shall be a conclusive proof of dispatch of such documents to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever. I/We am/are also aware that copies of such documents including contract notes are also available on the official web-site of FCML, for which I/We will be provided with a User ID and Password. In case of non receipt of documents by mail, I/We shall intimate the same to FCML immediately in writing. In case I/We wish to withdraw this facility, I/We shall inform FCML in writing at least one week in advance from the date of such withdrawal.
- I/We hereby agree that non-receipt of bounced mail notification by FCML shall amount to delivery of the Contract Notes and other documents at above mentioned email id(s). In case FCML receives bounced mail notification, FCML is obliged to send the Physical Contract Notes and other documents within prescribed time.
- I/We shall ensure that the above mentioned email ID(s) are kept valid and any change in the said email ID(s) shall be communicated to FCML in writing. FCML shall verify the same and confirm to me/us about the change.



 SIGNATURE OF THE CLIENT

CONSENT LETTER FOR RECEIVING ALERTS / TRADING CALLS ON MOBILE

To,
FAST CAPITAL MARKETS LIMITED
 SUITE #10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

I/We hereby give my/our consent to FCML to give me/us Alerts, Trading Calls, Research Reports, News, Live Updates or any other information on my Email ID given earlier for Electronic Communication and also on my Mobile No.

+	9	1											
---	---	---	--	--	--	--	--	--	--	--	--	--	--

This shall not be treated as violation of any DND or any other similar rules applicable from time to time. The number may be given to the exchanged database also.

Further, I/We undertake to FCML and confirm to use my/our own judgement in taking a view and execute trade in the identified security(ies) according to my/our financial strength/capabilities and shall not hold FCML responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of such communication and/or investment advises sent by FCML.

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



 SIGNATURE OF THE CLIENT

ELECTRONIC PAYOUT REQUEST

To,
FAST CAPITAL MARKETS LIMITED
 SUITE # 10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir / Madam,

I/We furnish below the details of my Bank Account to enable the transfer of funds payable to me/us against sale of securities / Credit Balances in my account.

BANK :	BRANCH :
TYPE OF ACCOUNT : <input type="checkbox"/> SAVINGS <input type="checkbox"/> CURRENT <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> OTHERS (SPECIFY)	A/C. No. :
	MICR No. :
COPY OF CHEQUE MUST BE ENCLOSED.	IFSC CODE

Name of Joint Account Holder (if any) : _____

I/We hereby declare that the particulars mentioned above are correct, complete and true and I/ee request FCML to transfer the funds against payments due to me into the above mentioned Bank Account until any other instruction is given by me/us. It is also agreed by me/us that the above facility is being provided to me/us by FCML at my/our request and it can be discontinued/withdrawn by FCML at its discretion at any point of time, as and when required without prior notice.

1. The transfer of funds to my/our bank account will continue to be governed by the terms and conditions as per my declaration to FCML.
2. I/We shall review, upon receipt, all transfers of funds made into the aforesaid bank account. In case fund payment is not received in my/our account on the scheduled date then I/we will notify the same to FCML within two days, failing which it shall be assumed that the funds have been credited to my account and FCML shall not be liable in any manner thereafter for the same.
3. If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me/us, I/we would not hold FCML responsible and hereby indemnify FCML from any losses or damages there from.
4. All charges levied by Bank for the said facility shall be borne by me/us.

FATCA/CRS - Self Declaration

Is your Country of Tax residency other then INDIA- (if yes pl provide details :) Yes <input type="checkbox"/> No : <input type="checkbox"/>	
Mention Country /ies of citizenship (All countries to be mentioned in case of more than one citizenship)	_____
Mention Country /ies of Tax Residency (All countries to be mentioned in case of more than one tax residency)	_____
Tax Identification Number (TIN) (PAN or its equivalent in case of foreign country)	_____



SIGNATURE OF THE CLIENT

DECLARATION OF SOLE PROPRIETORSHIP / PARTNERSHIP FIRM

To, (TO BE GIVEN ON THE LETTERHEAD)
FAST CAPITAL MARKETS LIMITED
 SUITE # 10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

I/We refer to the trading account opened with you in the name of _____ and declare and authorize you as under :

I/We recognize that a Beneficiary Account cannot be opened with a Depository Participant in the name of a Sole Proprietorship/ Partnership Firm as per Depository Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I/ we authorise you to recognise the DP Client ID _____ with Depository _____ having DP ID _____ opened in the name of the undersigned who is the Sole Proprietor /Partner of the firm.

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

The Cheques / Demand Drafts may be issued by me/us from my individual account or my/our joint account with some one else. The amounts so given shall be solely/exclusively for credit to the account of my Sole Proprietorship / our Partnership Firm M/s.

_____ with FCML I/We shall not lay any claim whatsoever in future against FCML for affording credit of such cheques/demand drafts issued from my individual / our joint account, credit of which has been provided by FCML to the account of my Proprietorship / our Partnership Flrm M/s. _____



SIGNATURE OF THE CLIENT

AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER / (S)

To, (TO BE GIVEN ON THE LETTERHEAD)
FAST CAPITAL MARKETS LIMITED
 SUITE # 10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

We the Partners of M/s. _____ a partnership firm, having its office at _____ (office address) _____ (city) _____ (state) _____ hereby authorise Mr. /Ms. _____ and Mr./Ms. _____ to

Open a securities trading account in Capital Market Segment, F&O Segment and Currency Derivatives Segment on behalf of the firm M/s. _____ with the Trading Member FCML for sale and purchase of shares, debentures / derivative instruments in Capital Segment and/or Futures and Options Segment and/or currency Derivatives Segment or any other segment that may be introduced by NSE/BSE/MSEI in future. He/She/They is/are authorised on behalf of the firm to deal in equities, derivatives, debentures, debt products and the said Trading Member is hereby authorised to honour all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Ms. _____ and Mr./Ms. _____ is / are authorised to sell , purchase, transfer, endorse, negotiate documents and/or/otherwise deal through FCML on behalf of the firm M/s. _____. He/She/They is/are also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorised signatory(ies) can issue from bank account(s) in favour of FCML for credit to Share trading account of the firm with FCML, even though his/their signatures may not be available on the records of FCML. These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely / exclusively for the account of the firm maintained with FCML.

Note: Please affix Rubber Stamp of the firm for each signature.



SIGNATURE OF THE CLIENT



SIGNATURE OF THE CLIENT



SIGNATURE OF THE CLIENT

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

To, (TO BE GIVEN ON THE LETTERHEAD)

FAST CAPITAL MARKETS LIMITED

SUITE # 10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

1. WHEREAS the Hindu Undivided Family of _____ is carrying on business in the firm name and style of _____ at _____ or we intent to deal, or desire to have Shares Trading Account with FCML (hereinafter referred as "Member"). We, undersigned, hereby confirm and decalre that we are the present adult co-parceners of the said joint family and that _____ is the present Karta of the said joint family.

2. We confirm that affairs of the H.U.F. firm are carried on mainly by the Karta _____ on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorise the Karta _____ on behalf of the H.U.F. to deal on Capital Market Segment, Futures and Options Segment, Currency Derivatives Segment or any other segment that may be introduced by NSE/BSE/MSEI in future and the said Trading Member is hereby authorised to honour all instructions oral or written given by him on behalf of the H.U.F.

Mr./Mrs. _____ is authorised to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the Member on behalf of the H.U.F.

_____ He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the H.U.F. firm to the Member and agree and confirm that any claim due to the Member from the said H.U.F. firm shall be recoverable from the assets of anyone or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.

3. We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of the said H.U.F. firm and until receipt of such notice by the Member which shall be binding on the said joint family and the said H.U.F. firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member for all dues and obligations of the said H.U.F. firm in the Member's books on the date of the receipt of such notice by the Member and untill all such dues and obligations shall have been liquidated and discharged.

4. We recognise that a beneficiary account can be opened with a Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorise you to recognise the Beneficiary Account No. _____ with Depository _____ Opened in Name of _____ who is the Karta of this H.U.F.

5. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We under take to inform you in writing as and when each of the said members attains the age of majority and is authorised to act on behalf of, and bind the said H.U.F. Firm.

Name of the Minor	Father's Name	Date of Birth
_____	_____	_____
_____	_____	_____
_____	_____	_____

6. We have received and read a copy of the Member's Rules and Regulations for the conduct of Share Trading Accounts and We agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Thanking you

Yours Faithfully,

NAME :	NAME :	NAME :	NAME :
PAN No.	PAN No.	PAN No.	PAN No.
SIGN. OF KARTA	SIGN. OF CO-PARCENER	SIGN. OF CO-PARCENER	SIGN. OF CO-PARCENER

(ALONG WITH RUBBER STAMP)

BOARD RESOLUTION IN CASE OF CORPORATE/TRUST

[TO BE GIVEN ON THE LETTERHEAD]

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS/TRUSTEES OF M/S. _____ LIMITED / TRUST AND HAVING ITS REGISTERED OFFICE

AT _____
HELD ON _____ DAY OF _____ 20 _____ AT _____ A.M./P.M

RESOLVED THAT the company /Trust be registered as Client with FCML member of NSE,BSE, MSEI for the purpose of dealing in Equities, F&O Contracts, Currency Derivatives Contracts, Debentures, Debt & Others Products and the said Member be and is hereby authorised to honour instruction oral or written, given on behalf of the Company/ Trust by any of the under noted authorised signatories :-

Sl. No.	Name	Designation
1	_____	_____
2	_____	_____

who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with/through deal through FCML on behalf of the Company/Trust.

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

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any Trustees/any one Director and Company Secretary, if any, who shall sign the same in token of their presence."

FOR _____ LIMITED

Chairman/Company Secretary/All Trustees

Specimen Signatures of the Authorised Persons

Sl. No.	Name	Specimen Signatures
1	_____	_____
2	_____	_____

RESOLVED FURTHER THAT, the above signatures to be attested by the person signing the resolution for account opening on behalf of the Company/Trust.

FOR _____ LIMITED
CHAIRMAN/COMPANY SECRETARY/ALL TRUSTEES

SHARE HOLDING PATTERN OF CORPORATE CLIENT

[TO BE GIVEN ON THE LETTERHEAD]

NAME OF THE SHAREHOLDERS	NO. OF SHARES	% OF SHARES
A. PROMOTER SHAREHOLDERS HOLDING MORE THAN 5%		
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
B. NON-PROMOTER SHAREHOLDERS HOLDING MORE THAN 5%		
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		
C. OTHER (HOLDING LESS THAN 5%)		
1.		
2.		
TOTAL		100%

WE HEREBY UNDERTAKE TO INFORM FCML IN CASE OF ANY CHANGE IN THE PROMOTER SHARE HOLDING PATTERN



SIGNATURE OF THE CLIENT

Declaration for Ultimate Beneficial Ownership [UBO]

(Mandatory for Non-individual Applicant/Investor) To be filled in BLOCK LETTERS (Please strike off section(s) that is/are not applicable)

1 Applicant/Investor details:

Investor Name: _____ Investor PAN: _____

2 Listed Company / its subsidiary company [Part III Details NOT APPLICABLE]

(i) I/ We hereby declare that Our company is a Listed Company listed on recognized stock exchange in India a subsidiary of the Listed Company controlled by a Listed Company

(ii) Details of Listed Company[^]. Stock Exchange on which listed: _____

Security ISIN _____

[^]The details of holding/parent company to be provided in case the applicant/investor is a subsidiary company.

3 Category [Please ✓]:

Unlisted Company Partnership Firm LLP Unincorporated association / body of individuals Public Charitable Trust Religious Trust Private Trust/ Trust created by a Will Others _____ [please specify]

S.No.	Name of UBO [Mandatory]	1. Place & Country of Birth		PAN / Taxpayer Identification Number / Equivalent ID Number	PEP	Percentage of beneficial interest	Controlling person type Code (Refer Instruction 4)	Date of Birth [dd-mm-yyyy]	Address & Contact details [include City, Pincode, State, Country]	Gender [Male, Female, Others]	Father's Name	1. Nationality		2. Occupation	
		1.	2.									1.	2.	1.	2.
[----- MANDATORY, IF PAN NOT PROVIDED -----]															
1		1.			YES <input type="checkbox"/>								1.		
		2.			NO <input type="checkbox"/>								2.		
2		1.			YES <input type="checkbox"/>								1.		
		2.			NO <input type="checkbox"/>								2.		
3		1.			YES <input type="checkbox"/>								1.		
		2.			NO <input type="checkbox"/>								2.		
4		1.			YES <input type="checkbox"/>								1.		
		2.			NO <input type="checkbox"/>								2.		
5		1.			YES <input type="checkbox"/>								1.		
		2.			NO <input type="checkbox"/>								2.		

Attached Document should be self certified by the UBO and Certified by the Applicant / Investor.

4 Declaration

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after necessary consultation with tax professionals.

I/We have understood the information requirements of the application form, including FATCA and CRS requirements, terms and conditions (read along with instruction and scheme related documents) and hereby accept the same and further confirm that the information provided by me/us on this form are true, correct, and complete.

Date:
 Place:

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal]

Instructions on Controlling persons / Ultimate beneficial owner

5. Controlling Person Type [UBO] Codes: Please mention the Code as per able below

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

1. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
 - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
 - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

2. For Investors which is a trust:

The identity of the settlor of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

3. Exemption in case of listed companies / foreign investors:

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identifying beneficial ownership of the client.

4. Controlling Person Type [UBO] Codes: Please mention the Code as per able below

UBO Code	Description
UBO-1	Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company
UBO-2	Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership
UBO-3	Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an unincorporated association or body of individuals
UBO-4	Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
UBO-5	Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above]
UBO-6	The settlor(s) of the trust
UBO-7	Trustee(s) of the Trust
UBO-8	The Protector(s) of the Trust [if applicable].
UBO-9	The beneficiaries with 15% or more interest in the trust if they are natural person(s)
UBO-10	Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR/CLIENT FOR USING NEW MFSS FACILITY

1. Pre-requisites for becoming Investor / Client for the New MFSS facility.
 - 1.1 The Client who is desirous of investing in units of mutual fund schemes through the New MFSS.
 - 1.2 The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through FAST CAPITAL MARKETS Limited of the New MFSS.
 - 1.3 The Client has satisfied itself of the capacity of FAST CAPITAL MARKETS Limited to deal in Mutual Fund units and wishes to execute its instruction through FAST CAPITAL MARKETS Limited and the client shall from time to time continue to satisfy itself of such capability of FAST CAPITAL MARKETS Limited before executing transacting through FAST CAPITAL MARKETS LIMITED.
 - 1.4 The client has approached to FAST CAPITAL MARKETS Limited with the application for availing the New MFSS facility.
 - 1.5 The Client has submitted relevant KYC (Know Your Client) details to the FAST CAPITAL MARKETS Limited.
2. Terms and conditions
 - 2.1 The Client shall be bound by circulars issued by NSEIL, Rules, Regulations and Circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
 - 2.2 The Client shall notify FAST CAPITAL MARKETS Limited in writing if there is any change in the information in the 'Client registration Form' provided by the client to the FAST CAPITAL MARKETS Limited at the time registering as a client for participating in the New MFSS or at any time thereafter.
 - 2.3 The client shall submit to FAST CAPITAL MARKETS Limited a complete application form in the manner prescribed format for the purpose of placing a subscription order with the FAST CAPITAL MARKETS Limited.
 - 2.4 The Client has read and understood the risks involved in investing in Mutual Fund Schemes.
 - 2.5 The Client shall be wholly responsible for all his investment decisions and instruction.
 - 2.6 The Client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
 - 2.7 The Client shall pay to FAST CAPITAL MARKETS Limited fees 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 FAST CAPITAL MARKETS Limited renders to the Client.
 - 2.8 The Client will furnish information to FAST CAPITAL MARKETS Limited in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him/her or if any litigation which may have material bearing on his capacity has been filed against him.
 - 2.9 In the event of non-performance of the obligation by FAST CAPITAL MARKETS Limited, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
 - 2.10 In case of any dispute between FAST CAPITAL MARKETS Limited and the investors arising out of the MFSS facility, NSEIL, and/or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

Declaration I am/We are fully aware that

- I/WE would need to keep clear balances in my linked bank/DP accounts for the transaction to be processed.
- I/WE have understood the terms and conditions attached herewith and agreed the same.
- I/WE have understood FAST CAPITAL MARKETS Limited will place my/our order on a best effort basis.
- Mutual Fund Investments are subject to market risk, please read the Statement of Additional Information (SAI)/Offer Document (OD) /Scheme Information Document (SID) carefully before investing.

Date :

Place :



SIGNATURE OF THE CLIENT

MUTUAL FUND SERVICE SYSTEM (MFSS FACILITY)

To,
FAST CAPITAL MARKETS LIMITED
SUITE # 10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir

Sub: Mutual Fund Service System(MFSS) facility

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/We further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

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

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

I/We therefore request you to register me/us as your client for participating in the MFSS.

Thanking You,

Yours faithfully,



SIGNATURE OF THE CLIENT

ACKNOWLEDGEMENT FOR THE RECEIPT OF DOCUMENTS

To,
FAST CAPITAL MARKETS LIMITED
SUITE # 10, "CALCUTTA MANSION", 4 BISHOP LEFROY ROAD, KOLKATA 700020

D	D	M	M	Y	Y	Y	Y

Dear Sir/Madam,

Ref. : Acknowledgement for the receipt of documents

This is to acknowledge the receipt of a copy of the following documents viz.,

- Copy of Client Registration Form (KYC) duly executed
- Account Opening Form - Part II
- Rights & Obligations (Separately - Part B)
- Risk Disclosure Document (Separately - Part B)
- Guidance Note (Separately - Part B)
- Policies & Procedures
- Tariff Sheet
- PMLA Declaration
- Literature on Anti-Money Laundering - Combating Financing of Terrorism (Separately - Part B)
- A copy of other Voluntary Documents executed & Signed by me as a client.

Thanking You,

Yours Faithfully,



SIGNATURE OF THE CLIENT

fast CAPITAL MARKETS LIMITED

Providing solutions for trading in

- ▶ NSE - Capital Market & F&O
- ▶ NSE - Currency Derivatives
- ▶ BSE - Capital Market & F&O
- ▶ BSE - Currency Derivatives
- ▶ MSEIL - Currency Derivatives
- ▶ Screen Based Trading in Mutual Fund
- ▶ CDSL - Depository Services
- ▶ IPO and Related Services
- ▶ Mutual Fund and Related Services

fast COMMODITY MARKETS LIMITED

Providing solutions for trading in

- ▶ MCX - Commodity Futures

In addition we offer the add-ons at NO EXTRA COST

- ▶ Internet Trading
- ▶ SMS Alerts on Trading
- ▶ Weekly Research Report
- ▶ Online access to our Back-Office
- ▶ Research Report on Demand.

A ONE STOP SOLUTION TO ALL YOUR INVESTMENT NEEDS

PART - B



DOCUMENTS FORMING PART AND PARCEL OF KYC KIT
INSTRUCTIONS / CHECK LIST
RIGHTS AND OBLIGATIONS
RISK DISCLOSURE DOCUMENT
PMLA INFORMATION
GUIDANCE NOTE -DO'S AND DONT'S

fast CAPITAL MARKETS LIMITED

SUITE # 10, "CALCUTTA MANSION" 4 BISHOP LEFROY ROAD, KOLKATA 700020, INDIA

Ph.: +91 33 4056 4545 / 4546. Fax.: +91 33 4056 4547

Email: info@fasttrade.co.in

www.fasttrade.co.in

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 authorised 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 authorised for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate / Mark sheet issued by Higher Secondary Board/Passport of Minor/ Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI):

List of documents admissible as Proof of Identity:

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

C. Proof of Address (POA):

List of documents admissible as Proof of Address:

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorised 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, authorised officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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

FOR CORPORATES

- Copy of the balance sheets for the last 2 financial years (to be submitted every year).
- Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
- Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
- Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
- Copies of the Memorandum and Articles of Association and certificate of incorporation.
- Copy of the Board Resolution for investment in securities market.
- Authorised signatories list with specimen signatures.

FOR PARTNERSHIP FIRM

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

FOR TRUST

- Copy of the balance sheets for the last 2 financial years (to be submitted every year).
- Certificate of registration (for registered trust only).
- Copy of Trust deed.

- List of trustees certified by managing trustees/CA.
- Photograph, POI, POA, PAN of Trustees.

FOR HUF

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

FOR UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUALS

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

FOR BANKS/INSTITUTIONAL INVESTORS

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

FOR FOREIGN INSTITUTIONAL INVESTORS (FII)

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

FOR ARMY/GOVERNMENT BODIES

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

FOR REGISTERED SOCIETY

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

ADDITIONAL DOCUMENTS IN CASE IF TRADING IN DERIVATIVES SEGMENTS

1. Illustrative list:

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

2. Copy of cancelled cheque leaf/pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing

name of the client.

4. For individuals:

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

5. For non-individuals:

- a. Form need to be initialized by all the authorised signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorised to deal in securities on behalf of company/firm/others and their specimen signatures.

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 nonpayment 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 Byelaws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

(ALL THE CLAUSES MENTIONED IN THE 'RIGHTS AND OBLIGATIONS' DOCUMENT(S) SHALL BE APPLICABLE. ADDITIONALLY, THE CLAUSES MENTIONED HEREIN SHALL ALSO BE APPLICABLE.)

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

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.exchange.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 subbroker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and

may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/COMPLAINTS

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

INFORMATION ON PREVENTION OF MONEY LAUNDERING ACT, 2002 (PMLA)

- Due to the tightened security and increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge our duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain in certain transaction, even if unknowingly or ignorantly, may land us in trouble.
- There is an Act called Prevention of Money Laundering Act 2002. (PMLA)
- The purpose of this act is to prevent the financing of terrorism and to prevent laundering of money i.e. to legalize or officialize or canalise the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes.
- This act is a part of the Global measures being taken by all the countries under the initiatives of UN agencies.
- It is applicable to all SEBI Registered brokers/sub-brokers and other financial institution who are dealing in any kind of financial assets.
- It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them to FINANCIAL INTELLIGENCE UNIT, a department specially set up to administer this Act under the Ministry of Finance.
- The transactions which are supposed to be reported are cash transactions above rupees ten lakhs or series of cash transactions below ten lakhs but aggregating to above ten lakhs in a month or its equivalent in any foreign currency and the transactions which may not be in cash but suspicious in nature.
- Any such above types of transaction, though not executed but attempted and failed are also required to be reported.
- The suspicious transaction can be related to the transaction under the circumstances such as;
- Clients whose identity verification seems difficult or clients that appear not to cooperate
 - Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing /business activity;
 - Clients based in high risk jurisdictions;
 - Substantial increases in business without apparent cause;
 - Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
 - Attempted transfer of investment proceeds to apparently unrelated third parties;
 - Businesses undertaken by offshore banks/financial services,
 - Businesses reported to be in the nature of export/import of small items.
 - Unusual transactions by Clients of Special Categories (CSCs).
- Clients of Special Categories may include;
 - NRI/HNI/Trust/Charities/NGO/Organizations receiving donations
 - Companies having close family shareholdings or beneficial ownership
 - Politically Exposed Persons
 - Companies offering foreign exchange offerings
 - Clients in high risk countries
 - Non face to face clients
 - Clients with dubious reputation as per public information available
- No trading or demat account can be opened in the name of entity whose name is listed on the banned entity list being maintained at United Nation's website at <http://www.un.org/sc/committees/1267/consolist.shtml>.
- While opening the new accounts all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under this act.
- All the records of transactions and client identifications must be preserved in a manner which can be promptly retrieved and reported to the authorities in the specified format.
- This is the highlights of the requirements under the Act. Subbrokers / Authorised Persons / Remissers are advised to go through the SEBI's master circular at <http://www.sebi.gov.in/circulars/2010/mastercircular/MasterCircular.pdf> for detailed information and understanding and also to visit the website of FIU-IND at <http://fiuindia.gov.in>
- The end clients are advised to co-operate with us by providing the additional information / documents, if asked for during the course of your dealings with us to ensure the compliance requirements under this Act.
- As a responsible citizen, it is our statutory as well as moral duty to be vigilant and to refrain from temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering our freedom and causing damage to the nation and to us as well.
- For any further clarifications or information on the subject, principal Officer may be contacted.