

Asit C. Mehta
INVESTMENT INTERMEDIATES LTD.
An ISO 9001:2008 Company



Serial No.:

Client Code (Cash) :

Client Code (Der) :

Date :

DP ID :

Approved for Account Opening

Verified By :

Date

Pg No

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Registration Kit

4-in-1 Account for Direct Clients
(Cash Trading + Depository Account
+ IPO + MF)



CHECKLIST

For Individual / HUF

Proof required (photocopy)

1. PAN Card of first holder. In case of HUF, PAN Card of HUF and of Karta
2. PAN Card of each additional holder/s in case of joint holder/s of DP account

Permanent Address Proof. Photocopy of any one of the following documents LATEST (with entire address and name disclosed as in the KYC Form) :

1. Latest Telephone / Electricity bill
2. Passport (alongwith validity details like date of expiry)
3. Driving License (alongwith validity details like date of expiry)
4. Election Card
5. Ration Card (wherein name of holder is displayed)
6. Bank Letter displaying photograph of the applicant duly attested by the bank officer and the latest depository statement
7. Registered Rent Agreement
8. Identity card issued by any employer (mandatory to attach the Ration Card copy wherein name of the holder is displayed)
9. Photo attestation by bank (mandatory to attach a Ration Card copy wherein name of the holder is displayed)

("LATEST for regularly available proof means those not more than 2 months old statements as address proof.) Permanent address is mandatory, careof address will not be accepted as permanent address. If correspondence address is same as permanent address, write "same as above" in correspondence address).

Bank Proof of any one of the following documents (self certified by client): .

- (i) Photocopy of a cancelled Cheque bearing pre-printed name of the account holder. In case of HUF in the name of HUF.
- (ii) Photocopy of the latest bank statement
- (iii) Photocopy of the updated passbook
- (iv) Letter from the Bank.

In case of above options (ii), (iii) and (iv), MICR code of the branch should be mentioned in the document.

In case of NRIs, declaration under FEMA and copy of PIS approval letter issued by authorised dealer / Bank is required in addition to above documents

Proof of demat (In case of existing DP account): Demat Master issued by the DP bearing DP Stamp/ Recent holding statement containing the name of the client

NOMINATION FACILITY

- (i) Fill NOMINATION FORM. Signatures of all Joint Holders is mandatory.
- (ii) Nomination should be signed by two witnesses
- (ii) No Nomination can be made in HUF account.

For Corporate account, kindly contact our office for documentary requirements.

General Notes:

- * Duly filled Registration Kit (including KYC form / Client Registration forms, proofs, documents etc) should be sent to us for account opening process.
- * Please affix (do not staple) photographs (with signature across) on the space provided. Also provide separate photographs for each holder/parent/guardian/key management personnel/authorised person as per the requirement.
- * **All Photo, Address and Bank Proof to be certified (signed) as true by the applicant**, (original of those documents to be produced, when required)
- * All document proofs submitted by the client should be verified with the original by ACMIL and /or its Affiliates (along with his/her/its signature and stamp). For stamp duty charges, a cheque / DD of Rs. 400 needs to be drawn in favour of " Asit C Mehta Investment Intermediates Ltd." These charges are subject to change.
- * There could be some updates / revision / changes in the documentation processes / requirements during the processing of your Registration Kit. Kindly contact us or our branch / business associate for the updates.
- * Please fill the form in **"BLACK INK" (Preferably) and in BLOCK LETTERS**

Signature guide

Signature of the Client/First Holder ☺ Second Holder *

Signature of the Witness of the Client ✍

Signature of the Member / DP / authorized signatory ↷

Signature of the Witness of Member / DP / authorized signatory >>

Marks shown to draw attention of the client ⇔ ↶

(For office use only)

Declaration:

I have verified the originals and personally identified the above applicant(s) with reference to the CDSL Circular CDSL/OPS/DP/657 and / or Exchange Circular as may be prescribed from time to time including any amendments thereof. Further PAN verification is also done by visiting the Income Tax Department website:

Name of the DP Representative	
Signature of the DP Representative	
Location /Region	

Asit C. Mehta

INVESTMENT INTERMEDIATES LTD

Corporate Member : Bombay Stock Exchange Ltd. & National Stock Exchange of India Ltd.
Regd. Office : "Nucleus House", 5th Floor, Saki-Vihar Road, Andheri (E), Mumbai - 400 072. INDIA
Tel. : (91-22) 2858 3333 • E-mail : acmiil@acm.co.in

SEBI Regn. No. - UIN: 100000281 / BSE CM: INB 010607233 & Derivatives: INF 010607233 / NSE CM: INB 230607239 & Derivatives: INF 230607239/AMFI ARN No. 3088
NSE Currency Derivatives : INE 230607239 / W.D.M.: INB 230607239 / PMS INP000001920 / Merchant Banking : INM000010973 / Depository (CM & Derivatives): IN-DP-CDSL-28-99

Dear Investors,

We thank you for choosing Asit C. Mehta Investment Intermediates Limited for providing you services for your investment needs. We value your patronage and assure you that we will strive to assist you in the best possible manner for all your investment related needs.

We enclose herewith Know Your Client "KYC Form" and other Agreements for execution with the respective Stock Exchanges. Kindly note that these documents are prescribed by the Regulatory authorities and are in mutual interest. We also enclose the risk disclosure document for your understanding of risk when you invest in the Capital Markets and an Annexure describing your rights and obligations. We urge you to go through these documents to enhance your investment experience.

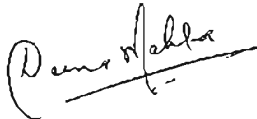
We request you to provide us with your email address so that your accounts and contract information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password from us to enable you to view / retrieve your records and investment information from our site www.investmentz.com.

We once again thank you.

With warm regards,

Yours faithfully

For **ASIT C. MEHTA INVESTMENT INTERMEDIATES LTD.**



DEENA A. MEHTA
MANAGING DIRECTOR



Online trading site : www.investmentz.com • E-mail : helpdesk@acm.co.in



Index (for documents to be completed)		
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	For Client	
I	MANDATORY DOCUMENTS:	
1	Know Your Client (KYC) Form: Statement of account, contract note, bill etc will be issued only in the name as mentioned in KYC Form. This form also mentions details of Referencer and the Nominee.	1 - 4
2	Depository Participant Account Details: Enables you to provide details of Second Holder.	5 - 7
3	Depository Participant Agreement: The Depository Participant-Client Agreement is a bipartite agreement to be signed by each joint holder and the DP at the time of account opening on payment of applicable stamp duty.	8 - 10
4	Power of Attorney: This document appoints ACMIL to operate your Depository Account for settlement of certain obligations and to subscribe or invest in the Initial Public Offer/s on your behalf.	11 - 12
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9	Letter of Interest – Investment in Mutual Funds: This document lists down the terms and conditions for dealing in the units of Mutual Fund Schemes through Mutual Fund Service System of NSE and BSE StAR MF Platform of BSE.	23 - 24
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10	Additional Clauses as prescribed by the Member Broker (ACMIL): These clauses are not prescribed by any Regulatory Authority but are necessary to enter into a relationship with ACMIL	26 - 27
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12	Running Account Authority Letter: For ease of fund movement, you agree to maintain a single financial account on running account basis in the books of ACMIL for both the exchanges and segments.	29
13	Disclosure of Proprietary Trading: ACMIL discloses that it may engage in proprietary trading	29
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SEBI REGISTRATION			
Cash Segment BSE : INB 010607233 NSE : INB 230607239	Derivative Segment BSE : INF 010607223 NSE : INF 230607239 NSE Currency : INE 230607239	PMS : INP 000001920 Merchant Banking : INM000010973	AMFI ARN Code:3086 WDM NSE : INB 230607239 IN-DP-CDSL-28-99 UIN NO: 100000281

Please affix and sign across the photograph



KNOW YOUR CLIENT (KYC) FORM

 ONLINE
 OFFLINE

Serial Number:

Document No: 1

CONSTITUENT DETAILS (INDIVIDUAL OR HUF)

Title Name

Middle Last

Date of Birth/ Date of formation of HUF Age

Gender: Male Female Other

Marital Status: Single Married

Name of your father/spouse

First Middle Last

Resident (Status) Indian NRI Repat NRI Non-Repat Foreign National Others

Nationality:

Identity Status: Individual (Major) NRI HUF Others (specify)

Residential / Permanent Address

City Pin Code

State Country

Business/office

City Pin Code

State Country

Preferred Address for correspondence Residence / Permanent Business / Office

PAN:

Day/Office Tel. Cell

Evening/Residence Tel. Fax

Email

For SMS & ALERT Facility (Debit, Corporate benefit)

STD Telephone Cell / STD

Name of guardian :

Address

Nationality: Resident Status :

Address- Residential



EDUCATIONAL & OCCUPATIONAL PROFILE

Education Brief: Post Graduate Graduate Under Graduate Only till School

Educational Details (give details about your latest qualification)

Occupational brief: Business Profession Housewife Retired Student Others Specify

Service: Central Government Yes / No State Government Yes / No

Public Sector Yes / No Private Sector Yes / No

Whether: NGO Yes / No Statutory Body Yes / No

Politically Exposed Person of Foreign Origin Yes / No Dubious Reputation Yes / No

Are you family member and/ or close relatives of a person of Politically Exposed Person of Foreign Origin or Dubious or Reputation? If yes, please give details Yes / No

Nature of business / Profession

Name of the Company/ Firm

Address

City Pin Code

State Country

FINANCIAL & INVESTMENT PROFILE

Annual income (Rs.) <1 Lacs 1-5 Lacs 5-10 Lacs 10-25 Lacs >25 Lacs

Net Worth: (Rs.) (to specify)

Whether you are registered with any other broker member: Yes No

Name of the Broker/Sub-Broker

Name of the Exchange Client Code No :

INVESTMENT/TRADING EXPERIENCE

No Prior Experience Years in Stocks Years in Derivatives Years in Other investment related fields

Interested in Day Trading Short Term Delivery Based Trading Long Term Delivery Based Trading

BANK DETAILS (Take precaution to mention correct details)

Bank Name

Branch

Address

City Pin Code

State Country

Bank Phone No. (with STD code) A/c Type: SB/CA/OD/Others

Bank Account number

Internet enables for transactions: Yes No MICR number:

Dividend / Interest through ECS: Yes No ISFC Code:

(To avail ECS Facility)

Note: In case of additional details, please attach separate sheets

Details, if any, of action taken by SEBI/stock exchanges/any other regulatory authority for any violation of any securities law or other economic offences

In the last three years Prior to that

I/We wish to trade in _____ Exchanges) ☺ ←
 (Please specify in your own handwriting the segment in which you wish to trade)

Preference of settlement Monthly Quarterly

OTHER DEPOSITORY PARTICULARS

Depository CDSL NSDL

DP Name

DP I.D. DP A/c. Number
 (Beneficiary Owner A/c. Number)

Address

City Pin Code

State Country

Note : Attach separate sheets if you have more than one DP.

DECLARATION BY THE KARTA

Date

To, M/s. Asit C Mehta Investment Intermediates Limited.,
 "Nucleus House", Saki Vihar Road. Andheri (E). Mumbai 400 072. INDIA.

Dear Sir,

I, the undersigned and the Karta of _____ (HUF), discloses following details of our HUF and all its coparceners;

	Name	Date of birth (dd/mm/yyyy)	Relationship	Signature
1.		<input type="text"/>		
2.		<input type="text"/>		
3.		<input type="text"/>		

I hereby, state that details mentioned as above are true and any change/update in them would be intimated to you in writing.

Thanking you,
 Yours faithfully,

Signature of the Karta along with HUF Stamp:
 Name of the Karta:

REFERENCE DETAILS

Introduced By (Name)

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First Middle Last

Address

PAN Number

--	--	--

UCC of Introducer (if registered with ACMIL)

--	--	--

 Signature

--	--	--

Details of Employee, Bank Official or Business Associate who has interviewed & filled / collected details from the client.

Name

--	--	--

First Middle Last

Designation

--	--	--

 Location

--	--	--

Signature

--	--	--

 Code : _____

Where did you find us ? (Kindly note to fill up this section)

Newspaper Ads Magazine Ads Road show / Seminar / Exhibition Client Reference

Friends & Relatives Mailing List TV Advt.

Business Associate Internet Search Others (specify)

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Select your trading mode: Online Offline

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 or suppression of any material fact, I am /we are aware that I/we may be held liable for it.

⇒ ☺ _____ Place: _____ Date: _____
 (Signature of the constituent)

(Please Sign in the Block only with Black Ink)

	Full Name		Signature(s)
⇒ Sole/First Holder		☺	
Second Holder		*	

Registration Kit No.:

Client Code:

DP BO ID:

Depository Participant Account Details

Serial Number:

Client/Beneficial Owner DP ID

Document No: 2

1	2	0	1	3	2	0	0								
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DETAILS OF SECOND HOLDER

Title Name

First Middle Last

Date of Birth/ Date of formation of HUF Age Gender: Male Female Other Marital Status: Single Married

Name of your father/spouse:

First Middle Last

Resident (Status): Indian NRI Repat NRI Non-Repat Foreign National Others

Nationality:

Identity Status: Individual (Major) Individual (Minor) NRI HUF Others (specify)

Address- Residential/ Permanent

City Pin Code

State Country

Telephone (any one) STD Code Telephone PAN No.

Day/Office Cell

Evening/Residence Fax

Email

Occupational brief: Business Profession Housewife Retired Student Others Specify

Service: Central Government Yes / No State Government Yes / No

Public Sector Yes / No Private Sector Yes / No Whether: NGO Yes / No

Statutory Body Yes / No Politically Exposed Person of Foreign Origin Yes / No

Dubious Reputation Yes / No

Are you family member and/ or close relatives of a person of Politically Exposed Person of Foreign Origin or Dubious or Reputation? If yes, please give details Yes / No

Occupation Address

City Pin Code

State Country

Annual income (Rs.) <1 Lacs 1-5 Lacs 5-10 Lacs 10-25 Lacs >25 Lacs

Net Worth: (Rs.) (to specify)

NOMINATION ("2 witnesses are compulsory in case of nomination".)

To,
Asit C. Mehta Investment Intermediates Ltd.
Nucleus House, Saki Vihar Road, Andheri (East), Mumbai -400 072

- I/we do not wish to nominate anyone for this demat account. (Strike out what is not applicable) (Signatures of all account holders should be obtained on this form)
- I/we the sole holder / joint holders / guardian (in case of minor) hereby nominate the following person who is entitled to receive security balances lying in my / our account, particulars whereof are given below, in the event of the death of the first/sole holder or the death of all the joint holders.

Name of Nominee

First Middle Last

Relationship with the applicant (if any) Date of Birth

Address of nominee

Photograph & Sign
across
of
Nominee

City Pin Code

State Country

STD Code Telephone

Telephone (any one)

Email

Signature of nominee _____

In case of where the account holder / nominee is minor , guardian's details as follow:

Name of guardian

First Middle Last

Address of guardian

Photograph & Sign
across
of
Guardian

City Pin Code

State Country

Age

Signature of guardian _____

Witness 1 Name

Address

City Pin Code

State Country

Signature _____

Witness 2 Name

Address

City Pin Code

State Country

Signature _____

This nomination is in accordance with the section 109 A of The Companies Act, 1956, and shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Signature First holder Signature Second holder *

Place: _____ Date: _____

Nomination accepted and registered vide Registration No. _____ dated _____ (to be filled by the depository participant).

AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT

The Agreement made and entered into this _____ day of _____ between Asit C. Mehta Investment Intermediates Limited, a body corporate, registered & incorporated under the provisions of The Companies Act, 1956, being member of The Central Depository Services India Ltd. (hereinafter called "the Depository") and having its registered office at Nucleus House, 5th Floor, Saki Vihar Road, Andheri (E), Mumbai 400072, (hereafter called "the Depository Participant").

and _____ (first account holder) having address at _____ (second account holder) having address at _____

(here in after individually/collectively called "the Client").

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS :

General Clause

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

Fees, Charges and deposits

The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid [not exceeding 18%] per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each ¹ [quarter]. Such statement shall be in the form specified in Operating Instructions. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

Beneficial Owner shall intimate change of particulars

The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

Participant not liable for claims against Beneficial Owner

CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from

the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

Authorised Representative

Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Closure of Account

The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

Stamp Duty

Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out herein above against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posing. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

Arbitration

The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction

The parties hereto agree to submit to the exclusive jurisdiction of the courts in Mumbai .

Governing Law

The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.



SIGNED AND DELIVERED BY "CLIENT" Title:
Name of the Client: Signature : ☺
Name of the second holder Signature : *
1. Witness (of the Client): Name : Address: Signature : ✍
2. Witness (of the Client): Name : Address: Signature : ✍

SIGNED AND DELIVERED BY "Asit C Mehta Investment Intermediates Ltd." The depository participant's Signature / Authorised Signatory: Signed by: ☺ Title: Authorised Signatory
Name:
1. Witness (of the depository participant's): Name : Address: Signature : »
2. Witness (of the depository participant's): Name : Address: Signature : »

POWER OF ATTORNEY

This Power of Attorney is executed on this the _____ day of _____, 20____ at _____ (place).

TO ALL TO WHOM THESE PRESENTS SHALL COME

I/We _____ (First Holder),
 _____ (Second Holder), *

residing / having place of business / having registered office at _____

hereafter referred to as "the Client" (which expression shall, unless it be repugnant to the subject or context thereof include his legal representatives, heirs, administrators, executors and successors as the case may be), India, Indian Inhabitant SEND GREETINGS.

Whereas I/We hold a Beneficiary account no. _____ (BO-ID) with Central Depository Service (India) Limited, through Asit C. Mehta Investment Intermmediates Ltd. bearing DP-ID 13200.

And Whereas I/we am/are an investor engaged in buying and selling of securities through Asit C. Mehta Investment Intermmediates Ltd., a member of the Bombay Stock Exchange Ltd. (hereafter referred as BSE) bearing SEBI registration no. INB 010607233, the National Stock Exchange of India Ltd. (hereafter referred as NSE) bearing SEBI registration no. INB 230607239 and AMFI ARN Code 3086, and a Company registered under the Companies Act, 1956 and having its registered office at Nucleus House, 5th Floor, Saki-Vihar Road, Andheri (East), Mumbai – 400072.

And Whereas due to exigency and paucity of time, I/we am/are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my/our behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE / AND APPOINT Asit C. Mehta Investment Intermmediates Ltd. as my/our true and lawful attorney (hereinafter referred to as the attorney) for me and on my behalf and in my name to instruct the aforesaid Depository Participant to debit securities and/or to transfer securities from the aforesaid account for the purpose of delivering the same to the clearing house of the recognized stock exchange towards any segment in respect of securities sold by me through them. This authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me through ACMIIL and I/We hereby confirm, approve, ratify, adopt and abide by all lawful, acts, statements and things done by the aforesaid Clearing Member to the Depository Participant named hereinabove in connection with the aforesaid acts, deeds, matter and things and their explanations and statements will be binding on me, pursuant to powers hereinbefore contained.

I/We do further appoint ACMIIL as my/our attorney to do, execute and perform severally the following additional acts, deeds, matters and things provided ACMIIL complies with all the applicable conditions of all or any of their services offered by them.

1. To apply/ subscribe/purchase/Bid for the Initial Public Offers (IPO)/ Offers for Sale/ Buy Back/ Rights Issue/ Redemption, etc. of Securities / Debentures of the companies offered through Online-IPO Module of the BSE & NSE, Mumbai as may be relevant thereto and/or through any other mode of application as per the instructions made available to them by me/us using electronic mail or through any other mode as specified by ACMIIL.
2. The Securities interalia will include shares, stocks, Debentures, securities of any State Government, Central Government, or Union Government, and investments in any other financial instruments.
3. To sign all applications relating to such Initial Public Offers (IPO)/ Offers for Sale/ Buy Back/ Rights Issue/ Redemption, etc. of securities.
4. To use/debit the monies provided in the Trading Account maintained with ACMIIL for the abovesaid purpose.

5. To forward all such applications received by us directly or placed through the website, to the online-IPO module of the concerned Exchange/ Banks/ collecting agency.
6. To do all other acts and things as may be necessary to effect the application/ subscription/ purchase/ bid/ redemption of the said IPO/shares and securities as the case may be.

ACMIL / Member Broker shall not be liable for any loss that may result from insufficient credit balance or my failure/ inability to make available the requisite funds to my Trading account with ACMIL, for any reason whatsoever.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I/We have given to the Depository Participant fifteen days advance notice in writing to the contrary.

IN WITNESS whereof I/We (the Client) has / have set his / her / our hand on the day, month and year first hereinabove in the presence.

<p>Name & Signature of the client First holder</p> <p>Name: Signature: 😊</p>	<p>Second holder</p> <p>*</p>
<p>Name and Address of Witness</p> <p>Name: Address: Signature: ✍</p>	<p>First Witness</p> <p>✍</p>
<p>We Accept "Asit C Mehta Investment Intermediates Ltd." The depository participant / clearing member's Signed by Attorney</p>	



Note : In case of HUF all co-parceners will have to sign this power of attorney. Please attach separate sheet if required.





This agreement is made and executed at this day of, 20__ between:

Asit C. Mehta Investment Intermediates Ltd., a body corporate, registered/incorporated under the provisions of the Companies Act, 1956, being a member of the Bombay Stock Exchange Ltd. (hereinafter called "the Exchange"), and having its registered office at Nucleus House, 5th floor, Saki Vihar Road, Andheri (East). Mumbai 400072. Maharashtra. INDIA (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

and

Mr./Ms/M/s....., an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at (hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and includes itself in the capacity of a trading member while trading in the derivatives segment, its executors, administrators and legal representatives, as the case may be, of the Other Part;



Whereas the stock broker is registered as the stock broker of the Exchange with SEBI registration number INB 010607233 in the Capital Market/Cash Segment and SEBI registration number INF 010607233 in the Futures and Options Segment.

Whereas the client is desirous of investing/trading in those securities/contracts/other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder from time to time.

Whereas the client has satisfied itself of the capacity of the stock broker deal in Securities 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.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and

Whereas the stock broker has taken steps and 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.

WHEREAS the stock broker and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a) He has read and understood the risks involved in trading on a stock exchange.
 - b) He shall be wholly responsible for all his investment decisions and trades.
 - c) The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
 - d) He is liable to 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.

- e) 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 closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
3. The Client agrees to 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 agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.
 4. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
 5. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
 6. The stock broker agrees 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 SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Byelaws and circulars.
 7. The client agrees to immediately furnish information to the stock broker 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 or if any litigation which may have material bearing on his capacity has been filed against him.
 8. The stock broker agrees to 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.
 9. 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 successors, heirs and assigns shall be entitled to any surplus, which may result there from.
 10. The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.
 11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
 12. 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 it may have had transactions in securities.
 13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
 14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
 15. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange (s). 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 to the relevant stock exchange(s).
 16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
 17. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.



18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange 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 Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; 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 issued by the Board is cancelled.
22. The stock broker and the client shall be entitled to terminate this agreement 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 agreement 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.
23. In addition to the specific rights set out in this Agreement, the stock 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 Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it 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 its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

The client's Signature/ Authorised Signatory: Signed by: 😊
Title:
Name of the Client:
Witness: ✍️ 1
2

The stock broker's Signature/Authorised Signatory: Signed by: ☺
Title: M/s
Name of the stock broker: Asit C. Mehta Investment Intermediates Ltd.
Witness: >> 1
2



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

**Agreement between Stock Broker and Client
(for the National Stock Exchange of India Ltd.)**



This agreement is made and executed at this day of, 20__ between:

Asit C. Mehta Investment Intermmediates Ltd., a body corporate, registered/incorporated under the provisions of the Companies Act, 1956, being a member of the National Stock Exchange Ltd. (hereinafter called "the Exchange"), and having its registered office at Nucleus House, 5th floor, Saki Vihar Road, Andheri (East). Mumbai 400072. Maharashtra. INDIA (hereinafter called "the stock broker") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its executors, administrators and legal representatives, as the case may be, of the One Part;

and



Mr./Ms/M/s....., an individual/a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/her/its residence/registered office at.....

(hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the stock broker is registered as the stock broker of the Exchange with SEBI registration number INB 230607239 in the Capital Market/Cash Segment and SEBI registration number INF 230607239 in the Futures and Options Segment.

Whereas the client is desirous of investing/trading in those securities/contracts/other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder from time to time.

Whereas the client has satisfied itself of the capacity of the stock broker deal in securities 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.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and

Whereas the stock broker has taken steps and 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.

WHEREAS the stock broker and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the 'client registration form' provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:
 - a) He has read and understood the risks involved in trading on a stock exchange.
 - b) He shall be wholly responsible for all his investment decisions and trades.
 - c) The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and



6. The stock broker agrees 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 SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Byelaws and circulars.
7. The client agrees to immediately furnish information to the stock broker 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 or if any litigation which may have material bearing on his capacity has been filed against him.
8. The stock broker agrees to 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.
9. 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 successors, heirs and assigns shall be entitled to any surplus, which may result there from.
10. The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.
11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable "Good & bad delivery norms" even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. 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 it may have had transactions in securities.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange (s). 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 to the relevant stock exchange(s).
16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange 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 Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; 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 issued by the Board is cancelled.
22. The stock broker and the client shall be entitled to terminate this agreement 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 agreement 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.

23. In addition to the specific rights set out in this Agreement, the stock 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 Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it 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 its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

The client's Signature/ Authorised Signatory: Signed by: 😊
Title:
Name of the Client:
Witness: ✍️ 1
2

The stock broker's Signature/Authorised Signatory: Signed by: ☺
Title: M/s
Name of the stock broker: Asit C. Mehta Investment Interrmediates Ltd.
Witness: » 1
2



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

Risk Disclosure Document for Capital Market / Cash segment

This document is issued by the member of the National Stock Exchange of India (hereinafter referred to as "NSE") / the Bombay Stock Exchange (hereinafter referred to as "BSE") which has been formulated by the Exchanges in coordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Equities of NSE / BSE. All prospective constituents should read this document before trading on Capital Market/Cash Segment of the Exchanges.

NSE/BSE/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 has NSE/BSE/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 contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that investment in Equity shares or other instruments traded on the Stock Exchange(s), 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 NSE/BSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE, its Clearing Corporation/Clearing House 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 member. 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 security or derivative being traded on NSE/BSE.

It must be clearly understood by you that your dealings on NSE/BSE through a member shall be subject to your fulfilling certain formalities set out by the member, which may inter alia include your filling the know your client form, client registration form, execution of an agreement, etc., and are subject to the Rules, Bylaws and Regulations of NSE/BSE and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE/BSE or its Clearing Corporation/Clearing House and in force from time to time.

NSE/BSE 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 trading member and/or sub-broker of NSE/BSE 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/investment 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 INVOLVED IN TRADING ON THE STOCK EXCHANGE (EQUITY AND OTHER INSTRUMENTS)

1.1. Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that securities undergo when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security, greater is its price swings. There may be normally greater volatility in thinly traded securities /contracts than in active securities. 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 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 swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities purchased or sold. There may be a risk of lower liquidity in some securities as compared to active securities. 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/selling without intention of giving and/or taking delivery of a security, as part of a day trading strategy, may also result into losses, because in such a situation, stocks may have to be sold/purchased at a low/high prices, compared to the expected price levels, so as not to have any obligation to deliver/receive a security.

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 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 / contracts. This in turn will hamper better price formation.

1.4. Risk-reducing orders:

Most Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc". The placing of such 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.
- 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, and such order gets activated if and when the stock 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 stock 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 stock 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:

Issuers make news announcements that may impact the price of the securities. These announcements 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.

1.6. Risk of Rumours:

Rumours about companies 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 rumours.

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 due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason.

1.8. System/Network Congestion:

Trading on NSE/BSE 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 the control of 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. GENERAL

2.1 Commission and other charges

Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

2.2 Deposited cash and property

You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws / regulations of the Exchange.

2.3 For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.

2.4 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of securities through the mechanism provided by NSE/BSE.

2.5 The term 'member' shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE/BSE and who holds a registration certificate as a stock broker from SEBI.

I hereby acknowledge that I have received and understood this risk disclosure statement and Annexure-1 containing my rights and obligations.

Customer Signature (If Partner, Corporate, or other Signatory, then attest with company seal.)

ANNEXURE 1 : INVESTORS' RIGHTS AND OBLIGATIONS:

- 1.1 You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the stock market or the broking firm's insolvency or bankruptcy.
 - 1.1.1 Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.
 - 1.1.2 Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE/BSE and the scheme of the Investors' Protection Fund in force from time to time.
 - 1.1.3 Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE/BSE or its Clearing Corporation / Clearing House.
- 1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges, which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
- 1.3 You should exercise due diligence and comply with the following requirements of the NSE/BSE and/or SEBI:
 - 1.3.1 Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE/BSE and whether they are enabled to trade may be verified from NSE/BSE website (www.nseindia.com / www.bseindia.com).
 - 1.3.2 Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.
 - 1.3.3 Furnish all such details in full as are required by the member as required in "Know Your Client" form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by SEBI/NSE at any time, as is available with the investor.
 - 1.3.4 Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE or its Clearing Corporation / Clearing House from time to time, because this may be useful as a proof of your dealing arrangements with the member.
 - 1.3.5 Give any order for buy or sell of a security in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.
 - 1.3.6 Ensure that a contract note is issued to you by the member, which contains minute records of every transaction. Verify that the contract note contains details of order no., trade number, trade time, trade price, trade quantity, name of security, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE/BSE, without delaying.
 - 1.3.7 Facility of Trade Verification is available on NSE/BSE website (www.nseindia.com / www.bseindia.com), where details of trade as mentioned in the contract note may be verified from the trade date upto five trading days. 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 NSE/BSE.
 - 1.3.8 Ensure that payment/delivery of securities against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE/BSE or it's Clearing Corporation / Clearing House. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member. Delivery of securities is made to the pool account of the member rather than to the beneficiary account of the member.
 - 1.3.9 In case pay-out of money and/or securities is not received on the next working day after date of pay-out announced by NSE/BSE or its Clearing Corporation / Clearing House, please follow-up with the concerned member for its release. In case pay-out is not released as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE/BSE.
 - 1.3.10 Every member is required to send a complete 'Statement of Accounts', for both funds and securities settlement to each of its constituents, at such periodicity as may be prescribed by time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE/BSE, without delaying.
 - 1.3.11 In case of a complaint against a member/registered sub-broker, you should address the complaint to the Office as may be specified by NSE/BSE from time to time.
- 1.4 In case where a member surrenders his membership, NSE/BSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE/BSE, ensure that you lodge a claim with NSE/BSE/NSCCL/Clearing House within the stipulated period and with the supporting documents.
- 1.5 In case where a member is expelled from trading membership or declared a defaulter, NSE/BSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to "transactions executed on the trading system" of NSE/BSE, ensure that you lodge a claim with NSE/BSE within the stipulated period and with the supporting documents.

- 1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye-laws and the scheme under the Investors' Protection Fund (IPF) may be payable first out of the amount vested in the Committee for Settlement of Claims against Defaulters, on pro-rata basis if the amount is inadequate. The balance amount of claims, if any, to a maximum amount of Rs.10 lakhs per investor claim, per defaulter/expelled member may be payable subject to such claims being found payable under the scheme of the IPF.

Notes:

1. The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a trading member of NSE/BSE for the purpose of acquiring and / or selling of securities through the mechanism provided by NSE/BSE.
2. The term 'member' shall mean and include a member or a broker or a stock broker, who has been admitted as such by NSE/BSE and who holds a registration certificate as a stock broker from SEBI.
3. NSE/BSE may be substituted with names of the relevant exchanges, wherever applicable.



Date: (DD MMMYYYY)

⇒ Client's Signature: 😊

(If Corporate, or other Signatory,
then attest with company seal.)



SEBI REGISTRATION

Cash Segment

BSE : INB 010607233

NSE : INB 230607239

Derivative Segment

BSE : INF 010607223

NSE : INF 230607239

NSE Currency : INE 230607239

PMS : INP 000001920

Merchant Banking :

INM000010973

AMFI ARN Code:3086

WDM NSE : INB 230607239

IN-DP-CDSL-28-99

UIN NO: 100000281

Document No: 9

**Letter of interest - Mutual Fund Investments through Exchanges
(Letter to be provided by Investor / Client to the Participant / Mutual Fund Intermediaries (MFI))**

To,
Asit C. Mehta Investment Intermediates Limited,
Nucleus House, Saki-Vihar Road,
Andheri (East), Mumbai - 400072

Date: _____

Sir / Madam,

Sub: Mutual Fund Service System (MFSS) / BSE StAR MF facility

I/We _____ am/are registered as your client bearing Client Code No. _____ and / or DP Account No. _____ and have executed the necessary *Trading Member and Client Agreement / Depository Participant Agreement for the purpose of *trading / dealing with National Stock Exchange of India Ltd. and Bombay Stock Exchange Ltd. (Exchanges).
(*Strike off whichever is not applicable)

I am /We are interested in availing the Mutual Fund Service System of NSE (MFSS) and BSE StAR MF Platform of BSE (BSE StAR MF) for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the said Exchanges.

For the purpose of availing the MFSS and BSE StAR MF facility, I/we state, declare, agree and undertake as follows:

1. That Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date and that I shall notify you in writing if there are any changes in these details.
2. I am /We are completely aware of the terms and conditions stated in the NSE Circular dated 24th November, 2009 and BSE Circular dated 2nd December, 2009 and that I/We will abide by the terms and conditions as mentioned therein.
3. I/We will ensure compliance with and abide by the terms and conditions, Circulars, Rules and Regulations as may be notified by the Exchanges, Securities and Exchange Board of India, Association of Mutual Funds of India (AMFI) and other Regulatory Authorities from time to time.
4. I/We have read and understood the contents of the Scheme Information Document and Key Information Memorandum, addenda issued and risks involved in each Mutual Fund Scheme(s) with respect to which I/we prefer to invest.
5. That I/We will execute the Scheme Application Form(s) of various Mutual Fund Schemes I/We wish to avail and such other documents as may be required by you for the purpose from time to time.
6. That I/We will execute the instruction(s) for subscription/redemption of units of Mutual Fund Schemes through you.
7. That I/We will be responsible for all my/our investment decisions and instruction(s).

8. That I/We have satisfied myself/ourself of the your capacity as an Authorised Participant / Mutual Fund Intermediary to deal in Mutual Fund units and that I/We shall from time to time continue to satisfy myself/ourself of such capability before executing the any transactions.
9. That I/We will pay you, fees and statutory levies as are prevailing from time to time for transactions and services rendered by you.
10. That I/We will furnish you information in writing, if any insolvency or winding up petition has been filed or any insolvency or winding up order or decree or award is passed against me / us or if there is any litigation which may have material bearing on my / our capacity.
11. In the event of your non-performance of obligation, I/We will not be entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSE/BSE/NSCCL/Clearing House.
12. That in case of any dispute arising out of or in connection with any of the terms and conditions mentioned in this letter may be referred to the Respective Exchanges for their speedy redressal.

I/We therefore request you to register me/us as your client for participating in the MFSS facility of NSE and BSE StAR MF platform of BSE.

Thanking you,

Yours faithfully,

Client Signature: 😊	
Client Name:	
Client Address:	
Client Code/ DP ID:	

NON-MANDATORY DOCUMENTS

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker and the client. The same are required in order to ensure operational convenience between ACMIL and the client. The client need not execute this document if he / she does not wish to.)

**Additional clauses as prescribed by Asit C. Mehta Investment Intermediates Ltd.
(hereafter referred as the “stock broker”) are stated herewith**

1. Internet Broking service and Phone and Trade services:

- i) The stock broker offers/intends to offer broking through the Internet or other services through web site www.investmentz.com (the website). The said website is owned and maintained by the stock broker. The stock broker also offers/intends to offer Phone and Trade services to the Client. Internet / Electronic broking services or phone and trade services or any other services through electronic mode shall be referred to as Internet broking services.
- ii) The stock broker will provide the client with a username, a trading password and customer user identification number and Telephone Personal identification number (TPIN Number) or other identification or security code (by whatever name called) which enable him to avail of the facilities of Internet broking through the stock broker's website, over the telephone or in any such other manner as may be permitted by the stock broker for availing of the services. All terms regarding the use, reset and modification of such password shall be governed by information on the website.
- iii) The services on the website shall be available to the registered user subject to the terms and conditions mentioned thereof.
- iv) The client shall be responsible for keeping the username and trading password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the website using the client's username and/or trading password whether or not such person was authorized to do so.
- v) The client acknowledges that he/she/it is fully aware of and understands the risks associated with availing of Internet broking services through the internet including the risk of misuse and unauthorized use of his username and or trading password, Telephone Personal identification Number (TPIN), etc. by a third party and the risk of a person hacking into the client's trading account on the website and unauthorisedly routing orders/trades on behalf of the client through the system. The client agrees that he shall be fully liable and responsible for any and all unauthorized use and misuse of his trading password and / or username/TPIN number and also for any and all acts done by any person through the website using the client's username in any manner whatsoever. Further at no point in time shall the stock broker be liable for any loss, whether notional or actual, that may be suffered by the client on account of the use and misuse of the trading password and/or the client username.
- vi) Without prejudice to the presents in the aforesaid clauses, the client shall immediately inform the stock broker of any unauthorized use or suspicion of such unauthorized use of the user name, customer user identification number, TPIN number and password with full details of such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorized use, etc.
- vii) The client agrees that orders, instructions and other communications given or made over the telephone may be routed through the stock broker's interactive voice response or other telephone mechanism / mode may be recorded by the stock broker. The client also agrees that such recording and the stock broker's records of any orders, instructions and communications given or made by the client or the stock broker by electronic mail, fax, or other electronic means shall be admissible as evidence and shall be final and binding evidence of the same.
- viii) The client agrees to provide information relating to customer user identification number TPIN number and/or such other information as may be required while placing orders on the telephone to determine the identity of the client. Provided however that nothing prevents the stock broker from accepting or rejecting instructions from the client over phone without usage of TPIN number and such acceptance of instruction by the stock broker shall be binding on the client.

2. Trading, Settlement and Accounts:

- i) The client shall bring any errors in any report, confirmation or contract note of executed trades (including execution prices, scripts or quantities) to the stock broker's notice in writing by an electronic mail or fax within twenty-four hours of receipt of the concerned report, confirmation or contract note. Any other discrepancy in the confirmation or account shall be notified by the client to the stock broker in writing via electronic mail or fax within twenty four hours from the time of the receipt of the first notice and get it's acknowledge. In all cases the stock broker shall have a right to accept or reject the client's objection.
- ii) The client is aware that the electronic trading systems either at the Exchange or in the stock broker's offices are vulnerable to temporary disruptions, breakdowns or failures. In the event of non-execution of trade orders or trade cancellation due to the happening of such events or vulnerabilities due to failure/disruption/breakdown of system or link, stock broker shall be entitled to cancel relative contracts/(s) with the client and shall not be able to execute the desired transactions of the client's. In such event, the stock broker does not accept responsibility for any losses incurred / that may be incurred by the client due to such eventualities which are beyond the control of the stock broker.
- iii) The systems used by the stock broker for providing the stock broking service / Internet broking services / phone and trade services through available means (with the stock broker) are generally capable of assessing the risk of the client as soon as the order comes placed. However, due to any reason whatsoever, if the order is processed without sufficient risk cover from the client, the client shall be bound by such trade and shall provide such funds and/or securities as may be required to meet his liability under the trade.

3. Modifications:

- i) All modifications to this Agreement shall be made solely at the discretion of the stock broker and shall be intimated to the client by a suitable modification to the terms and conditions or other applicable section on the website or in any other manner.
- ii) The client agrees that a modification to the information in the terms and conditions section on the website or any other applicable section and a display of the modification for the duration of the applicability of such modification to the circumstances of the client, shall be sufficient notice to the client, to take note of such modification.

4. Assignment:

The client agrees that the stock broker may at any time during the subsistence of these presents, without requirement of issuing any notice to the client, assign, transfer or otherwise alienate, by executing an agreement or in any other manner, all or any of its rights and/or obligations in terms of this Agreement to any person or entity including but not limited to its associate concerns/affiliates/group/sister companies and the rights and obligations of the stock broker under this Agreement or any amendment or modification hereto shall vest and ensure for such assignee without any further act, deed, matter or thing and the client agrees to the same.

5. No Waiver:

The failure on the part of stock broker from taking any action against the client for any breach or breaches of the Agreement shall not constitute a waiver by the stock broker of any subsequent or continuing breach thereof by the client.

6. Force Majeure:

The stock broker shall not be responsible for delay or default in the performance of their obligations due to contingencies beyond their control, such as (including but not limited to) fire, flood, civil commotion, earthquake, war, strikes, failure of the systems, failure of the internet links or government / regulatory action.

7. Severance:

In the event of any one or more of the provisions contained in this Agreement becomes invalid, illegal or unenforceable in any respect under any law for the time being in force, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be prejudiced or affected thereto.

8. Miscellaneous:

- i) The singular shall include the plural where the context so admits and vice versa.
- ii) The masculine shall include the feminine and the neutral and vice versa.
- iii) The client agrees to abide by operational procedures laid down by the stock broker regarding banking transactions, billing etc. and any changes made in these procedures from time to time and mentioned on the website.
- iv) The stock broker may send bill, or any other information to the client through post/courier/electronic form or through any other medium of communication.

9. Termination:

- i) Unless specified otherwise, both parties shall be entitled to terminate this agreement at will and without giving any reasons to the other party but not without giving a notice in writing of not less than one month that shall be dispatched to the address mentioned in this agreement. However, such cancellation or termination shall not have any effect on any transaction(s) executed prior to the date of such notice of termination and the rights and obligations in respect of such transactions shall continue to subsist in terms of this agreement, and / or the terms and conditions as prescribed.
- ii) This agreement shall become effective on the date first written above or the commencement of first transaction, whichever is earlier and shall remain in full force unless and until terminated.
- iii) In the event of a Governmental action or action from any regulatory authorities debarring the stock broker from carrying on business or rendering it impossible to transact the stock broking business and/or Internet broking / phone and trade business and/or depository participation, this agreement shall stand terminated.
- iv) The rights and obligations of the parties under this agreement, which by their nature survive the termination of this agreement, shall not be extinguished by the termination of this agreement.

10. Jurisdiction:

Subject to clause 18 of the Agreement between Stock Broker & Client and the Tripartite Agreement between Stock Broker, Sub-broker and Client of the relevant stock exchanges referred in this Registration Kit earlier, Courts in Mumbai shall have exclusive jurisdiction for the purpose of giving effect to these provisions.

Mandate to the Member Broker to issue Digital Contracts

Date

To, Asit C. Mehta Investment Intermediates Ltd.,
5th floor, Nucleus House, Saki Vihar Road, Andheri (East), Mumbai-400 072.

Sub: Mandate to issue contracts in digital format

Dear Sir,

I/We hereby agree and consent to accept the contract notes/bills, etc for transactions carried on by me/us with you or with any group/affiliate/associate/sister company of yours, in terms of the agreement entered into between us, in Digital form. Digital contracts/bills, etc. issued as per the terms and conditions specified (as stated below) shall be binding on me/us. I/we undertake to check the contract notes/bills, etc. and bring the discrepancies to your notice within 24 hours of such issuance of the said contract notes/bills, etc. My/our non-verification or not accessing the contract notes/bills, etc. on regular basis shall not be a reason for disputing the same at any time. This instruction to issue digital contract note/bills, etc. is applicable with immediate effect. This instruction is several to all parties mentioned above. I/we further agree to communicate in writing any change in the E-mail ID as furnished in this letter.

Terms and conditions of digital contract notes/bills, etc. are as follows:

1. The Digital Contract notes/bills, etc. will be issued in digital form in compliance with the guidelines issued by SEBI/Exchanges from time to time.
2. It will be mailed to the E-mail address provided by me/us in the format as may be prescribed by the Exchanges from time to time.
3. It will also be available at the member's website (www.investmentz.com). The clients can view the Digital Contract notes by using the username & password given to him/her/them.
4. It will be archived at an interval of 90 days. If the client intends to view the digital contracts notes for a period prior to that, the client may request for the same in writing to the member broker.
5. In case of any failure in system or errors in digital contract notes/bills, etc., it will be issued in physical form, which shall be binding on the client.
6. Discrepancies, if any, should be sent to email helpdesk@acm.co.in within 24 hours of issuance of digital contract notes/bills, etc.
7. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the email ID of the client.
8. Any changes in the terms and conditions shall be intimated from time to time.

I hereby accept to the terms and conditions as mentioned herein.

Yours faithfully,

Signature of the client: 😊

Name of the client:

Client Code:

E-mail Id of the client:

Running Account Authority Letter

Date

To,
Asit C Mehta Investment Intermmediates Limited.,
5th Floor, "Nucleus House", Saki Vihar Road,
Andheri (E), Mumbai 400 072. INDIA.

Dear Sir,

I/we refer to my/our broking account with you for transaction on the Bombay Stock Exchange Ltd. and the National Stock Exchange of India Ltd. in Capital Market/Cash and Derivative/Futures & Options segments. I/we understand the transaction confirmations, contracts/bills, etc. would be processed Exchange wise Segment wise. However for the ease of fund movement, I/we would request you to maintain a single financial account on running account basis in your books for both the exchanges and both the segments. This would facilitate easy fund movement and avoid any delay in payment to/ for between us. This would also lead to better reconciliation and convenience. I/we also request you to hold back our purchase delivery in the unlikely event of continuing debit in my/our trading and/or demat account. I/we also request you to retain our pay out if any, beyond statutory time limit as may be applicable from time to time to be adjusted against future debits unless otherwise specified in writing by us. In specific cases, I/we would also instruct you (either orally/in writing through electronic means or else) to hold back my/our deliveries purchase in your pool account for our intended sale. I/We may revoke this authority at any time by a written notice of not less than fifteen days to that effect. I/We undertake to renew this letter every year.

Trust the above arrangement is convenient to both of us for our operational efficiency.

Thanking you,

Yours faithfully,

⇒ Client Signature: 😊

Client Name:

Client Address:

Document No: 13

Disclosure On Proprietary Trading (for information to client)

With a view to increase the transparency in the dealings between the broker and the client, SEBI has come out with Circular No.SEBI/MRD/SE/Cir-42/2003 DATED 19TH November, 2003 stating that every broker shall disclose to his client whether he does client based business or proprietary trading as well.

In view of the above, we Asit C. Mehta Investment Intermmediates Ltd., having the membership of the Bombay Stock Exchange Ltd. and the National Stock Exchange of India Ltd., hereby disclose that we mainly do client based business only. As regards proprietary trading, we have an arbitrage desk for cash, and the company owns certain long term investments. We do not indulge in any speculative trades.

😊

←

Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

Nucleus House, Saki Vihar Road, Andheri (East), Mumbai - 400 072. Phone: 022-28583660

Email: customerservice@acm.co.in • Web Site: www.investmentz.com

Revised Tariff Plan effective January 1, 2010

Charging Head	Slab	Remarks
Account Opening	NIL	Statutory stamp Duty charges or other regulatory charges (if any) on actual
Annual Maintenance (AMC)	NIL **	All Charges on AMC waived **
Demat Charges	NIL	Rs. 50 courier cost to be paid to local office per demat request
Remat Charges	NIL	
Pledge and Unpledge Charges	NIL	
Transaction charge – Buy side	NIL	
Transaction Charges – Sell side	Plan I – Rs 500 (Default Plan) (Rs.551.50 including statutory levies)	Upto 60 transactions free for the calendar year. (* please refer to note)
	Plan II -Rs. 1000 (Rs. 1,103.00 including statutory levies)	Upto 120 transactions free for the calendar year (* please refer to note)
	Plan III – Rs. 1500 (Rs.1,654.50 including statutory levies)	Upto 200 transactions free. for the calendar year (* please refer to note)
	Plan IV – Rs.2000/- (Rs.2206 including Statutory levies)	All transactions free for the calendar year (*please refer to note)
	Plan V – Rs.149/- (Rs.164.35 including Statutory levies)	No free Transactions & Rs.149/- is towards maintenance charges.
Transaction Charges – Sell side (For every trade above free trade as per plan selected by you)	Rs. 25 per trade for on market.	
Transaction Charges – off market and Inter DP trades. (For trades above free trade as per plan selected by you)	Rs. 40 per trade	For every one off market and Inter DP trade, 2 trades will be counted for calculating free trade balance.
Plan Selection	Plan I will be taken as your default plan in case you do not convey your decision in writing on the plan selection.	
Billing and Collection Mechanism	We will raise a bill in December 2009 for the calendar year 2010 and debit your account with us.	You may hand over cheques to our local office along with the form given below in case of inadequate balance in trading account.
Transaction charges in excess of Plan	Collection will be on monthly basis and same will be debited to your trading account with us.	
Service Tax & other levies	The applicable rate of service tax & other levies will be collected.	As on 20th October 2009 the charges are @ 10.30%
Applicability	1st January 2010	Billing cycle will be calendar year.
New Accounts opened post October 2009	No Charges in first 3 months including the month in which the account is opened.	The charges will start only on commencement of new quarter.
IMPORTANT POINT TO NOTE	We will not entertain change of plan request in middle of the year.	All Plan selection requests must reach us by 30th November 2009.
Lien	In event you fail to pay the charges we will be forced to freeze your DP balances and not carrying out any settlement instructions.	In case there is no holding then the account will be suspended for non-payment of charges.

(*) Note : For the purpose of Free trade count as per plan, Only delivery through your demat account with us will be considered.

(**) Except for Plan V

Note: Service tax, Education cess and Secondary & higher education cess will be charged as per rate prescribed by law.

1. Signature 😊 First Holder	2. Signature * Second Holder	Asit C. Mehta Investment Intermediates Ltd.

Client Account Brief (for Office Use Only)

Trade ID Cash Date

DP ID Date

PAN no. MAPIN ID / UIN

A/c opening charges: Deposit / Margin amount:

Instrument details

Segment in which you trade BSE Cash NSE Cash

Client category: Online Offline / Direct Client

Lead / Media source: Stamp & Sign

Segment	Delivery(%)	Min.(Ps.)	Trading			
			1st leg(%)	Min.(Ps.)	2nd leg(%)	Min.(Ps.)
Cash BSE						
Cash NSE						

Contract / Bills E Contract Physical

Executive (for documentation)

Name/Stamp

Date

Signature

Verified by

Name/Stamp

Date

Signature

Approved by

Name/Stamp

Date

Signature

Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA
Tel.: 022 - 2858 3333 Fax: 022 - 2857 7647 Email: customerservice@acm.co.in
Website: www.investmentz.com

Investment centers:

Branches, Business Associates, Marketing Agents: 725
Marketing Agents for MF: 1773
States and U.T. covered: 26

Management:

Managing Director: Mrs. Deena A. Mehta
Whole-time Director: Mr. Kirit H. Vora

SEBI / Regulatory Registration Nos:

- BSE:INB/INF 010607233
- NSE:INB/INF/INE 230607239
- PMS: INP000001920
- Merchant Banking: INM000010973
- DP Reg: IN-DP-CDSL-28-99
- DP ID -CDSL 12013200

Membership:

- NSE: Cash, Derivatives, Debt & Currency Derivatives
 - BSE: Cash & Derivatives
 - FEDAI: Foreign Exchange
- SEBI: PMS & Merchant Banking category 1
- Commodities: NCDEX MCX, DGCX & EAST INDIA COTTON
- CDSL: Depository Participant

Principal Banker:

State Bank of India

Call us Toll-Free: 1800 22 9002
Or at Landline: (022) 2858 4444