

Form No.:

Common Client Code:

BOLD:

Account Opening Date:

Inward No:

BA Code:

# INVESTPLUS ACCOUNT Registration Kit

Cash Trading + Derivative + Currency Derivative + Depository Account + IPO + MF



**INVESTMENTZ**.COM

INVESTOR FIRST

BY ASIT C. MEHTA INVESTMENT INTERMEDIATES LTD.

| Sr. No. | Name of Document                                    | Brief Description of document  | Page  |
|---------|---|--|-------|
| 1       | CKYC & KRA KYC Account Opening Form                 | This document captures all details of the First Sole account holder for ease of opening of accounts across all financial institutions and intermediaries.  | 1-2   |
| 2       | Additional details for Investment and Demat account | This document captures additional information about Investor such as bank, depository account trading segment preferred, dealing through sub-broker / authorized persons and other stock brokers, past actions. additional details and nomination details and declaration by the investor. | 3-5   |
| 3       | Running Account Authority Letter                    | This document is the document in which the client agrees to maintain a single financial account on running account basis in the books of ACMIIL for both exchanges and all segments ( <b>Non-Mandatory document</b> )  | 8     |
| 4       | Disclosure of Proprietary Trading                   | This is document contains ACMIIL disclosure that ACMIIL may engage in proprietary trading  | 8     |
| 5       | FEMA Declaration by NRI                             | This document contains declaration by NRI that he/she has complied with applicable FEMA and RBI guidelines   | 8     |
| 6       | Additional KYC Form for Opening a Demat Account     | This document captures the details of demat account holders, DP Tariff plan, Option form for issue of DIS booklet. Declaration for common Email ID / Mobile Number.  | 10-11 |
| 7       | CKYC & KRA KYC Account Opening Form                 | This document captures all details of the Second & Third account holders for ease of opening of accounts across all financial institutions and intermediaries.   | 12-13 |
| 9       | For office use only                                 | This document is a document specifying brokerage rates chargeable to the client and will be filled by ACMIIL representative  | 14    |

**(Other – Mandatory Documents).**

|  |  |  |  |
|--|--|--|--|
|  | Rights & Obligation Document* Trading / Investment A/c | This document states the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (Including Additional rights & obligation in case of internet / wireless technology based trading). |  |
|  | Rights & Obligation Document* Demat A/c                | This document states the rights and obligations of beneficial owner and depository participant.  |  |
|  | Guidance Note*   | This document specifies Do's & Don'ts for trading on exchange, for education of the investor   |  |
|  | Risk Disclosure Document                               | This document describes the risk associated with the stock market.   |  |
|  | Policy & Procedures                                    | This document describes the policies & procedures of ACMIIL with respect to Settlement, Risk Management etc.   |  |

Note: "Other Mandatory Client Documents" is a separate booklet, which is given to client. \* Formats are as prescribed in SEBI circular CIR/MIRSD/16/2011 issued on August 22, 2011

**Important points on form filling**

Please take care of below points at the time of filling form:

- Form to be filled legibly in BLOCK LETTERS and in BLACK INK only
- Enclose valid documents of all proofs. ID, address and Bank proofs are mandatory for all clients, financial proof is mandatory only for derivatives accounts.
- All documents / photocopies of documents submitted along with form should be Self-Attested by client(s). In case of HUF a/c, the documents should be signed by Karta of HUF under seal of HUF
- All photocopy of documents submitted should be verified by authorized person of ACMIIL at branch / Associates as per ACMIIL internal circular.
- If any proof is in Non-English language, the same should also be translated into English and duly attested and submitted.
- Permanent Address is Mandatory; Care of (c/o) address is not accepted as permanent address.
- In case correspondence and permanent address are different, then proof for the both addresses should be submitted.
- Please mention complete address on the form, it should not be short address. Wherever possible, room no., building name, road name, nearest known landmark should be mentioned.
- Name, Address, Bank details mentioned on KYC form should match with the documentary proof submitted.
- In case any fields in the form are left blank (where not applicable), Please strike off these fields.
- Please affix (Do not staple) photographs of all holders at appropriate place provided & sign Across the photograph partly on the form & partly on the photograph.
- In case of NRI account, FEMA Declaration given in the form to be duly signed by all holders & PIS approval letter from authorized dealer / Bank is mandatory.
- Please mention Brokerage scheme no. at appropriate box on the form.
- Please mention RC No./RC name where clients are to be mapped, correctly on the form.
- In case account is to be opened in cash segment, then demat account, either with ACMIIL/other Depository Participant (DP), is mandatory

☐ I hereby consent to my account being opened by online mode and declare that this consent is being given by me of my own free will.

I state and confirm that I have read and understood all the clauses of above documents.

Name of the Client: \_\_\_\_\_

Signature

## Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

Patomath Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072. India

Tele.: 022 2858 4545 Fax: 022 2857 7647 Website: www.investmentz.com Email: customerservice@acm.co.in

SEBI Registration No. BSE: INB/INF 010607233 NSE: INB/INF/INE 230607239 MSEIL: INB/INF/INE 260607230

Research Analyst INH000002483 DP Reg: IN-DP-CDSL12013200 Merchant Banking: INM000010973 PMS: INP000005801

Compliance Ofcer: Mr. Jaideep Vaidya Phone No. 022 2858 3021 Email: jaideep.vaidya@acm.co.in

CEO / MD details: - Mrs. Deena Mehta Phone No. 022 2858 3333 Email: customerservice@acm.co.in

For any grievance / dispute please contact Asit C. Mehta Investment Intermediates Ltd.

At the above address or write to email id - customerservice@acm.co.in / investorgrievance@acm.co.in and phone no.022-2858 4545 / 022-6787 8988

In case not satisfied with the response, please contact the concerned exchange(s) / depository at ignse@nse.co.in and

phone no. 1800220058 (NSE) / is@bseindia.com and phone no. 022-22728097 (BSE)

complaints@cdslindia.com and phone no. 022-22723333 (CDSL)

## Instructions/Guidelines for filling Individual KYC Application Form

### General Instructions:

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.

### A. Clarification / Guidelines on filling 'Identity Details' section

1. Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### B. Clarification/Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

### C. Clarification / Guidelines on filling 'Proof of Identity [Pol]' section, if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
3. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. Letter issued by a gazetted officer, with a duly attested photograph of the person.

### D. Clarification / Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

### E. Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

### F. Clarification / Guidelines on filling 'Contact details' section

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

### G. Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

### H. Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

### I. List of people authorized to attest the documents after verification with the originals:

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.
6. Government authorised officials who are empowered to issue Apostille Certificates.

### J. List of people authorized to perform In Person Verification (IPV):

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

### K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

Application Form

(For Individuals only)

(Please fill the form in English and in BLOCK Letters fields marked \*\*are mandatory fields)

Application Type\*

☐ New

☐ Update KYC Number\*

☐ Normal (PAN is mandatory)

☐ PAN Exempt Investors (refer instruction k)

1.Identity Details (Refer instruction A)

PAN

Please enclose a duly attested copy of your PAN Card

Name \* (Same as ID Proof)

Maiden Name (if any\*)

Father/Spouse Name\*

Mother Name\*

Date of Birth\*

Gender\*

☐ M-Male

☐ F-Female

☐ T-Transgender

Marital Status\*

☐ Married

☐ Unmarried

☐ Others

Citizenship\*

☐ IN-Indian

☐ Others - Country

Country Code

Residential Status\*

☐ Resident Individual

☐ Non Resident Indian

☐ Foreign National

☐ Person of Indian Origin

Occupation Type\*

☐ S-Service

☐ Private Sector

☐ Public Sector

☐ Government Sector

☐ O-Others

☐ Professional

☐ Self Employed

☐ Retired

☐ Housewife

☐ Student

☐ B-Business

☐ X- Not Categorised

Photo

2.Proof of Identity (POI) \* (For PAN exempt investor or if PAN card copy not provided) (Refer instruction C & K)

(Certified Copy of any one of the following Proof of Identity[POI] needs to be submitted)

☐ A- Passport

Passport Expiry Date

☐ B- Voter ID Card

☐ C- Pan Card

☐ D - Driving Licence

Driving Licence Expiry Date

☐ E - Aadhaar Card

☐ F - NREGA Job Card

☐ Z- Others (any document notified by central government)

Indentification Number

3. PROOF OF ADDRESS (POA)\*

☒ 3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Refer instruction D)

Address

Line 1\*

Line 2

Landmark

City / Town / Village \*

Distinct\*

Zip / Post Code\*

State / U.T Code\*

State/UT\*

Country\*

Country Code

as per ISO 3166

Address Type\*

☐ Residential / Bussiness

☐ Residential

☐ Business

☐ Registered Office

☐ Unspecified

(Certified copy of any one of following Proof of Address[POA] needs to be submitted)

Proof of Address\*

☐ Passport Number

Passport Expiry Date

☐ Voter ID Card

☐

☐ Aadhaar card

☐ Driving Licence

Driving Licence Expiry Date

☐ NREGA Job Card

Indentification Number

☐ Others (any document notified by the central government)

3.2 Correspondance / Local Address Details\* (Refer instruction E)

Same as Current / Permanent / Overseas Address Details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof))

Line 1\*

Line 2

Landmark

City / Town / Village\*

District

Zip / Post Code\*

State / U.T Code\*

State/UT\*

Country\*

Country Code

as per ISO 3166

4.Contact Details (All communications will be sent on provided mobile no./ Email - ID) (Refer instruction F)

Email ID

Mobile

Tel.(Off)

Tel.(Res)

5.FATCA/CRS Information (Tick if Applicable)

☐ Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction at the end)

Additional Details Required\* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence \*

Country Code of Jurisdiction of Residence \* as per ISO 3136

Tax Identification Number or equivalent (if issued by jurisdiction)\*

Place /City of Birth\*

Country of Birth\*

Country Code as per ISO 3136

Address

Line 1\*

Line 2

City / Town / Village\*

Landmark

District

Zip / Post Code\*

State / U.T Code\*

as per Indian Motor Vehicle Act, 1988

State/UT\*

Country\*

Country Code as per ISO 3166

6.Details of Related Person (optional) (Refer instruction G) (in case of additional related persons, please fill 'Annexure B1')

☐ Related Person

☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor

☐ Assignee

☐ Authorized Representative

Name \*

(If KYC number and name are provided, below details of section 6 are optional)

☐ Proof of Identity[POI] of Related Person\* (Refer instruction H)

Certified copy of any one of the following Proof of Identity[POI] needs to be submitted)

☐ A - Passport Number

☐ B- Voter ID Card

☐ D - Driving Licence

☐ E - Aadhaar Card

☐ F - NREGA Job Card

☐ Z- Others (any document notified by central government)

☐ Passport Expiry Date

☐ C - Pan Card

Driving Licence Expiry Date

Indentification Number

7.Remarks(If any)

8.Application Declaration

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

1. Signature / Thumb Impression of Applicant

Date

Place:

9.Attestation / For Office Use Only

Documents Received

☐ Certified Copies

KYC Verification Carried Out by (Refer instruction I)

Date

Emp.Name

Emp.Code

Emp. Designation

INSTITUTION DETAILS

Name

Code

Emp. Branch

In-Person Verification (IPV) Carried Out by (Refer instruction J)

Date

Emp.Name

Emp.Code

Emp. Designation

INSTITUTION DETAILS

Name

Code

Emp. Branch





## Additional details for Investment and Demat account

### BANK DETAILS [Dividend Bank Details]

|                              |  |                                 |                                  |   |  |
|------------------------------|--|---------------------------------|----------------------------------|---|--|
| Bank Code(9 digit MICR code) |  | IFS Code(11 character)          |                                  | Account number                                  |  |
| Account type                 |  | <input type="checkbox"/> Saving | <input type="checkbox"/> Current | <input type="checkbox"/> Others (Specify) _____ |  |
| Bank Name                    |  |                                 |                                  |   |  |
| Branch Name                  |  |                                 |                                  |   |  |
| Bank Branch Address          |  |                                 |                                  |   |  |
| City                         |  | State                           |                                  | Country   |  |
|                              |  |                                 |                                  | PIN code  |  |

### Other Depository Particulars

|            |                               |                               |
|------------|-------------------------------|-------------------------------|
| Depository | <input type="checkbox"/> CDSL | <input type="checkbox"/> NSDL |
| DP Name :  |                               |                               |
| DP ID      | Client ID                     |                               |

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

Please submit client master/latest demat holding statement showing above details

### Trading Preferences

| SEGMENT                              | SIGNATURE |
|--------------------------------------|-----------|
| Cash (NSE /BSE),<br>Mutual Fund, IPO |           |
| Derivatives<br>(NSE /BSE)            |           |
| Derivatives<br>Currency (NSE /BSE)   |           |
| SLBM                                 |           |

**For derivative segment, provide ANY ONE from below mentioned documents:**

- Copy of ITR Acknowledgment (Issued within last one year)
- Copy of form 16 (Issued within last one year).
- Networth certificate (Issued within last one year)
- Copy of annual accounts (Issued within last one year).
- Salary Slip (Issued within last 3 months)
- Bank a/c statement for last 6 months.
- Latest DP holding statement

For derivatives segment attachment of proof

### Dealing Through Authorized Persons and Other Stock Brokers

If you are dealing through any other stock broker/Authorized Persons of other stock broker, please provide a copy of the welcome letter/latest contract note issued by the other stock-broker.

### Past Actions

Details of any action/proceedings initiated/pending/taken by SEBI/ stock exchanges/ any other regulatory against the applicant/ constituent or its partners/ Promoters/ whole time directors/ authorized person in change of dealing in securities during the last 3 years:

### Additional Details

|  |  |
|--|--|
| Whether you wish to receive physical contract note or Electronic Contract Note(ECN).                                   | <input type="checkbox"/> I wish to receive Electronic Contract Note, Funds and Securities statement my email is: _____<br><input type="checkbox"/> I wish to receive(physical) Contract Note   |
| Whether you wish to avail of the facility of Internet trading/ Wireless Technology                                     | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| Whether you wish to receive Other Mandatory Documents * by email<br>*Refer Index for List of Other Mandatory Documents | <input type="checkbox"/> Yes <input type="checkbox"/> No   |
| Whether you wish to receive alert from Exchange*   | <input type="checkbox"/> Yes, I wish to receive Alerts through <input type="checkbox"/> SMS <input type="checkbox"/> Email <input type="checkbox"/> Both<br>Alerts should be sent on Mobile number/ E-mail ID given on KYC from First holder Mobile number is register in the name of _____<br>Relationship with the client: <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Other _____<br><input type="checkbox"/> No (should be immediate family member) |

\* For Terms & Conditions, Please refer our website [www.investmentz.com](http://www.investmentz.com)

### Gross Annual Income Details

#### Income Range per annum:

☐ Up to Rs.1,00,000 ☐ Rs 1,00,000 to Rs 5,00,000 ☐ Rs 5,00,000 to Rs 10,00,000 ☐ Rs 10,00,000 to Rs 25,00,000 ☐ More than Rs 25,00,000

Net worth Rs. \_\_\_\_\_ as on (Date)         [Net worth should not be older than 1 year]

### Other Information

Please tick, ☒ if applicable:

☐ Politically Exposed Person(PEP) ☐ Related to Politically Exposed Person(RPEP) ☐ Not Applicable

Politically Exposed Persons are defined as individuals who are or have been entrusted with prominent public functions in India and / or foreign country, e.g: Head of states or of Governments, Senior Politicians, Senior Government / Judicial / Military Officers, Senior Executives of States owned corporation etc.

## Nomination details

|                                    |  |              |  |
|------------------------------------|--|--------------|--|
| <b>Nomination Registration No.</b> |  | <b>Dated</b> |  |
|------------------------------------|--|--------------|--|

☐ I/We **nominate** the following person who is entitled to receive fund and assets balances lying in my/our account, particulars where of are given below, in the event of my / our death.

|                                 |  |  |  |  |  |  |  |  |  |            |  |  |  |  |  |  |  |  |  |  |
|---------------------------------|--|--|--|--|--|--|--|--|--|------------|--|--|--|--|--|--|--|--|--|--|
| <b>BO Account Details</b>       |  |  |  |  |  |  |  |  |  | <b>UCC</b> |  |  |  |  |  |  |  |  |  |  |
| DP ID                           |  |  |  |  |  |  |  |  |  | Client ID  |  |  |  |  |  |  |  |  |  |  |
| Name of the Sole / First Holder |  |  |  |  |  |  |  |  |  |            |  |  |  |  |  |  |  |  |  |  |
| Name of Second Holder           |  |  |  |  |  |  |  |  |  |            |  |  |  |  |  |  |  |  |  |  |
| Name of Third Holder            |  |  |  |  |  |  |  |  |  |            |  |  |  |  |  |  |  |  |  |  |

### BO Account Details

| Full Name of the Nominee   |             | Nominee 1   | Nominee 2   | Nominee 3   |
|--|-------------|---|---|---|
| Name of the Nominee  | First Name  |   |   |   |
|  | Middle Name |   |   |   |
|  | Last Name   |   |   |   |
| Address  |             |   |   |   |
| City   |             |   |   |   |
| State  |             |   |   |   |
| PIN  |             |   |   |   |
| Country  |             |   |   |   |
| Telephone  |             |   |   |   |
| Fax No.  |             |   |   |   |
| <b>Nomination Details</b>  |             | <b>Nominee 1</b>  | <b>Nominee 2</b>  | <b>Nominee 3</b>  |
| PAN  |             |   |   |   |
| Email ID   |             |   |   |   |
| Relationship with the BO (If any)  |             |   |   |   |
| Nominee Identification details (Please tick any one of the following and provide details of the same)  |             | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN <input type="checkbox"/> Aadhar<br><input type="checkbox"/> Saving bank account<br><input type="checkbox"/> Demat account ID<br><input type="checkbox"/> Identity proof<br><input type="text"/> | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN <input type="checkbox"/> Aadhar<br><input type="checkbox"/> Saving bank account<br><input type="checkbox"/> Demat account ID<br><input type="checkbox"/> Identity proof<br><input type="text"/> | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN <input type="checkbox"/> Aadhar<br><input type="checkbox"/> Saving bank account<br><input type="checkbox"/> Demat account ID<br><input type="checkbox"/> Identity proof<br><input type="text"/> |
| Date of Birth (minority if the Nominee is a minor)   |             |   |   |   |
| Name of the guardian of Nominee (If Nominee is Minor)  |             |   |   |   |
| Address of the Guardian  |             |   |   |   |
| City   |             |   |   |   |
| State  |             |   |   |   |
| Country  |             |   |   |   |
| PIN  |             |   |   |   |
| Age  |             |   |   |   |
| Mobile / Telephone No.   |             |   |   |   |
| Fax No.  |             |   |   |   |
| Email ID   |             |   |   |   |
| Relationship of the Guardian with the Nominee:   |             |   |   |   |
| Guardian Identification details (Please tick any one of the following and provide details of the same) |             | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN <input type="checkbox"/> Aadhar<br><input type="checkbox"/> Saving bank account<br><input type="checkbox"/> Demat account ID<br><input type="checkbox"/> Identity proof<br><input type="text"/> | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN <input type="checkbox"/> Aadhar<br><input type="checkbox"/> Saving bank account<br><input type="checkbox"/> Demat account ID<br><input type="checkbox"/> Identity proof<br><input type="text"/> | <input type="checkbox"/> Photograph & Signature<br><input type="checkbox"/> PAN <input type="checkbox"/> Aadhar<br><input type="checkbox"/> Saving bank account<br><input type="checkbox"/> Demat account ID<br><input type="checkbox"/> Identity proof<br><input type="text"/> |

|  |  |  |             |             |
|--|--|--|-------------|-------------|
| Share of each nominee  | Equally<br>(If not equally, please specify percentage) | %  | %           | %           |
|  |  | Any odd lot after division shall be transferred to the first nominee in the form |             |             |
| Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]: |  | <div></div>  | <div></div> | <div></div> |

**Note :** Residual funds and securities: incase of multiple nominees, please choose any one nominee who will be credited with residual fund and securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual funds and securities, if any.

This nomination shall supersede any prior nomination made by me / us as well as any testamentary document executed by me/us

Place: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of witness is required, alongwith name and address are required, if the account holder af?xes thumb impression instead of signature.

| Details of the Witness | First Witness |
|------------------------|---------------|
| Name of witness        |               |
| Signature of witness   |               |
| Address of witness     |               |

 \_\_\_\_\_

 \_\_\_\_\_

 \_\_\_\_\_

Signature of First Holder  
Name: \_\_\_\_\_

Signature of Second Holder  
Name: \_\_\_\_\_

Signature of Third Holder  
Name: \_\_\_\_\_



# Asit C. Mehta

INVESTMENT INTERMEDIATES LTD.

**Regd. Office :** "Nucleus House", 5th Floor, Saki-Vihar Road, Andheri (E), Mumbai - 400 072.  
Maharashtra, INDIA. • Tel.: (022) 2858 4545 • Fax (022) 2857 7647  
E-mail: customerservice@acm.co.in • CIN: U65990MH1993PLC075388

|                                    |      |   |   |   |   |   |   |   |   |
|------------------------------------|------|---|---|---|---|---|---|---|---|
|                                    | Date | D | D | M | M | Y | Y | Y | Y |
| UCC                                |      |   |   |   |   |   |   |   |   |
| DP ID                              |      |   |   |   |   |   |   |   |   |
| Client ID (only for Demat account) |      |   |   |   |   |   |   |   |   |
| Sole/First Holder Name             |      |   |   |   |   |   |   |   |   |
| Second Holder Name                 |      |   |   |   |   |   |   |   |   |
| Third Holder Name                  |      |   |   |   |   |   |   |   |   |

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

## Name and Signature of Holder(s)\*

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

## No Objection Certificate of Coparceners for Power of Attorney (for HUF)

With reference to the Power of Attorney given by \_\_\_\_\_  
(Name of HUF Entity) to \_\_\_\_\_  
(Name of Broker) dated \_\_\_\_\_ pertaining Demat Account No.12013200 \_\_\_\_\_ for Pay-in of securities for the purpose of settlement.

We the coparcener of \_\_\_\_\_ Name of HUF Entity)  
herewith declare that we undersigned do not have any objection towards Power of Attorney given by our  
Karta \_\_\_\_\_ (Name of Karta)  
to \_\_\_\_\_ (Name of Broker)  
for Pay-in of securities for the purpose of settlement.

| Sr. No. | Name of coparcener | Date of Birth | Gender | Signature |
|---------|--------------------|---------------|--------|-----------|
|         |                    |               |        |           |
|         |                    |               |        |           |
|         |                    |               |        |           |
|         |                    |               |        |           |
|         |                    |               |        |           |
|         |                    |               |        |           |
|         |                    |               |        |           |
|         |                    |               |        |           |

## NACH Mandate

|   |                                |                               |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |
|---|--------------------------------|-------------------------------|---------------------------------|-------------------------------|--|--|--|--|--|--|---|--------------|--|--|------------|---------------------------------------|---|------|----|--|------------------|---------|------------------------------|------|----|----|------|--|
| UMRN  |                                |                               |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   | Date | DD |  | MM               |         | YY                           |      | YY |    |      |  |
| Tick [✓]  |                                | Sponsor Bank Code             |                                 |                               |  |  |  |  |  |  |   | Utility Code |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |
| CREATE <input type="checkbox"/>   | I/We hereby authorize          |                               |                                 |                               |  |  |  |  |  |  | ASIT C. MEHTA INVESTMENT INTERMEDIATES LTD. |              |  |  |            |                                       |   |      |    |  | to debit (tick✓) |         | SB/CA/CC/SB-NRE/SB-NRO/Other |      |    |    |      |  |
| MODIFY <input type="checkbox"/>   | Full Bank a/c number           |                               |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |
| CANCEL <input type="checkbox"/>   |                                |                               |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |
| with Bank   |                                |                               |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   |      |    |  |                  | or MICR |                              |      |    |    |      |  |
| an amount of Rupees   |                                |                               |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   | ₹    |    |  |                  |         |                              |      |    |    |      |  |
| FREQUENCY   | <input type="checkbox"/> Mthly | <input type="checkbox"/> Qtly | <input type="checkbox"/> H-Yrly | <input type="checkbox"/> Yrly | <input type="checkbox"/> As & when presented |  |  |  |  |  |   |              |  |  | DEBIT TYPE | <input type="checkbox"/> Fixed Amount | <input type="checkbox"/> Maximum Amount |      |    |  |                  |         |                              |      |    |    |      |  |
| Reference 1   |                                |                               |                                 |                               |  |  |  |  |  |  | Phone No.                                   |              |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |
| Reference 2   |                                |                               |                                 |                               |  |  |  |  |  |  | Email ID                                    |              |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |
| I agree for the debit of Mandate processing charges by the bank whom I am authorizing to debit my account as per latest Schedule of charges of the Bank   |                                |                               |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |
| PERIOD<br>From <table border="1" style="display: inline-table; vertical-align: middle;"> <tr><td>DD</td><td>MM</td><td>YYYY</td></tr> </table> To <table border="1" style="display: inline-table; vertical-align: middle;"> <tr><td>DD</td><td>MM</td><td>YYYY</td></tr> </table> Or <input type="checkbox"/> Until Cancelled |                                |                               |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   |      |    |  |                  | DD      | MM                           | YYYY | DD | MM | YYYY |  |
| DD  | MM                             | YYYY                          |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |
| DD  | MM                             | YYYY                          |                                 |                               |  |  |  |  |  |  |   |              |  |  |            |                                       |   |      |    |  |                  |         |                              |      |    |    |      |  |

- This is to confirm that the declaration has been carefully read and made by me/us. I am authorizing the user entity/corporate to debit my account.
- I have understood that I am authorised to cancel/amend this mandate by appropriate communicating the cancellation/amendment request to the user entity/corporate or the bank where I have authorised the debit.

I/We hereby declare that the above information is true and correct and that the mobile number listed above is registered in my/our name(s) and/or is the number that I/We use in the ordinary course. I/We hereby declare that, irrespective of my/our registration of the above mobile in the provider customer preference register, or in any similar register maintained under applicable laws, now or subsequent to the date hereof, I/We consent to the Bank communicating to me/us about the transactions carried out in my/our aforesaid account(s)

## Non-Mandatory Document

Date: \_\_\_\_\_

Dear Sir,

Ref: Authorization to maintain running accounts for transactions and retention of funds for my client code

I/We request you to settle my/our account on a Monthly / Quarterly basis. (Strike off whichever is not applicable)

I/We hereby authorize you to maintain running account (s) for my/our transactions execute through Asit C. Mehta Investment Interrmediates Limited on any of the stock exchanges/segments for funds available in my ledger balance with you. I/We also request you to consider the balances in my our running fund account with you for the purpose of margins/all trade related liabilities due to you. I/We further authorize you to retain funds (net amount across segments and across Stock Exchanges) as permitted by the Stock Exchanges while settling my/our account. I/We also authorize Asit C. Mehta Investment Interrmediates Limited to consider the funds so retained by Asit C. Mehta Investment Interrmediates Limited towards margin and for allowing enhanced gross exposure to me/us. I/We agree that Asit C. Mehta Investment Interrmediates Limited shall not be liable for any claim for loss or loss of profit, or for any consequential, incidental, special or exemplary damages . or otherwise, caused by retention of such funds.

Additionally the funds due to me/us may be released in the interim, on my/our specific request.

I/We understand and agree that no interest will be payable to me/us on the amount of funds as retained with you. The This authorisation may be revoked by me/us at any time by giving prior written intimation to Asit C. Mehta Investment Intermediates Limited

**Consent for transferring shares from my DP a/c to ACMIL margin a/c in derivative segment**

I hereby authorise you to transfer shares from my DP ID Number \_\_\_\_\_ to ACMIIL margin id towards margin shortage in my derivative a/c. I understand that the valuation of shares transferred will be adjusted against Margin requirement for the derivative trades to be done by me.

I hereby declare that whenever I want to sell shares that are lying in margin a/c, I will inform you before such selling.

I hereby declare that I am fully aware of the risks involved in giving such an authority and indemnify Asit C. Mehta Investment Intermediates Limited (ACMIIL), its associates, its directors and employees, from any loss, damage, claims, liabilities, charges, costs or expense that may arise or be caused or result from the above as well as any instructions/requests placed.

I further agree that in such cases, I will have no claim whatsoever against Asit C. Mehta Investment Interrmediates Limited (ACMIIL).

Note : Shares will be auto transferred from client's default DP id only.

Securities, which are acceptable by the exchange as collateral, will be taken for margin shortage adjustment.

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 Intermediates Ltd., having the membership of the BSE 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.

I/We hereby declare that all transactions, as may be entrusted by me/us to Asit C. Mehta Investment Intermediates Ltd. from time to time will be in conformity with the prevailing provisions of Foreign Exchange Management Act, Reserve Bank of India and the provision of all other applicable laws and the Rules and Regulations made there under as amended from time to time.

|                  |   |   |   |   |   |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |
|------------------|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|
| PISApproval No.: |   |   |   |   |   |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |
| PISExpiry Date:  | D | D | M | M | Y | Y | Y | Y |  |  |  |  |  |  |  |  |  |  |  |  |

Please submit copy of PIS approval letter .



Signature of First Holder

Name: \_\_\_\_\_



Signature of Second Holder

Name: \_\_\_\_\_



Signature of Third Holder

Name: \_\_\_\_\_

## FATCA-CRS Declaration & Supplementary KYC Information

### Declaration Form for Individuals

*Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance*

|  |   |   |  |  |  |   |  |                                  |  |
|--|---|---|--|--|--|---|--|----------------------------------|--|
| PAN*   |   |   |  |  |  |   |  |                                  |  |
| Name   |   |   |  |  |  |   |  |                                  |  |
| Address Type<br><small>[for KYC address]</small>       | <input type="checkbox"/> Residential  | <input type="checkbox"/> Residential / Business |  |  |  |   |  |                                  |  |
|  | <input type="checkbox"/> Business   | <input type="checkbox"/> Registered Office      |  |  |  |   |  |                                  |  |
| Place of Birth   |   |   |  |  | Country of Birth                                     |   |  |                                  |  |
| Gross Annual Income Details in INR                     | <input type="checkbox"/> Below 1 Lakh   | <input type="checkbox"/> 1-5 Lacs               |  |  | Occupation Details [Please tick any one (✓)]         | <input type="checkbox"/> Business           | <input type="checkbox"/> Professional                  |                                  |  |
|  | <input type="checkbox"/> 5-10 Lacs  | <input type="checkbox"/> 10-25 Lacs             |  |  |  | <input type="checkbox"/> Public Sector      | <input type="checkbox"/> Private Sector                |                                  |  |
|  | <input type="checkbox"/> 25 Lacs - 1 Cr   | <input type="checkbox"/> > 1 Crore              |  |  |  | <input type="checkbox"/> Government Service | <input type="checkbox"/> Housewife                     |                                  |  |
| Net Worth in INR. In Lacs<br><small>[Optional]</small> |   |   |  |  |  | <input type="checkbox"/> Agriculturist      | <input type="checkbox"/> Student                       | <input type="checkbox"/> Retired |  |
| Net Worth Date <small>[Optional]</small>               | dd -mmm -yyyy   |   |  |  |  | <input type="checkbox"/> Forex Dealer       | <input type="checkbox"/> Others [Please specify] _____ |                                  |  |
| Politically Exposed Person [PEP]                       | <input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP<br><input type="checkbox"/> Not Applicable |   |  |  | Any other information <small>[if applicable]</small> | <small>[Please specify]</small>             |  |                                  |  |

\* If PAN is not available, please specify Folio No(s)

Is your Country of Tax Residency other than India – ☐ Yes ☐ No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

| S. No. | Country of Tax Residency# | Tax Payer Identification Number / Functional Equivalent | Identification Type<br><small>[TIN or other, please specify]</small> |
|--------|---------------------------|---|--|
| 1      |                           |   |  |
| 2      |                           |   |  |
| 3      |                           |   |  |

# to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

#### Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same

Date:

Signature:

Place:

15



## Additional KYC Form for Opening a Demat Account

**Asit C. Mehta**  
INVESTMENT INTERMEDIATES LTD.

Regd. Office : "Nucleus House", 5th Floor, Saki-Vihar Road, Andheri (E), Mumbai - 400 072. INDIA.  
Tel.: (022) 2858 4545 • Fax (022) 2857 7647 • E-mail: customerservice@acm.co.in

(To be filled by the Depository Participant)

|                           |           |      |  |
|---------------------------|-----------|------|--|
| Application No.           |           | Date |  |
| DP Internal Reference No. |           |      |  |
| DP ID                     | Client ID |      |  |

(To be filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a demat account in my/ our name as per following details:-

### Holders Details

|                            |  |   |
|----------------------------|--|---|
| Sole / First Holder's Name | PAN  |   |
|                            | Aadhaar  |   |
|                            | UCC  |   |
|                            | Exchange name & ID   |   |
| Second Holder's Name       | PAN  |   |
|                            | Aadhaar  |   |
| Third Holder's Name        | PAN  |   |
|                            | Aadhaar  |   |
| Status                     | Sub - Status   |   |
| Individual                 | <input type="checkbox"/> Individual Resident   | <input type="checkbox"/> Individual-Director          |
|                            | <input type="checkbox"/> Individual Director's Relative  | <input type="checkbox"/> Individual HUF / AOP         |
|                            | <input type="checkbox"/> Individual Promoter   | <input type="checkbox"/> Minor                        |
|                            | <input type="checkbox"/> Individual Margin Trading A/C(MANTRA)   | <input type="checkbox"/> Others(specify)              |
|                            |  |   |
| NRI                        | <input type="checkbox"/> NRI Repatriable   | <input type="checkbox"/> NRI Non-Repatriable          |
|                            | <input type="checkbox"/> NRI Repatriable Promoter  | <input type="checkbox"/> NRI Non-Repatriable Promoter |
|                            | <input type="checkbox"/> NRI - Depository Receipts   | <input type="checkbox"/> Others(specify)              |
|                            |  |   |
| Foreign National           | <input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others(specify) |   |

### Details of Guardian(in case the account holder is minor)

|                                 |     |
|---------------------------------|-----|
| Guardian's Name                 | PAN |
| Relationship with the applicant |     |

|  |  |
|--|--|
| I / We instruct the DP to receive each and every credit in my / our account if not marked, the default option would be 'Yes'   | [Automatic Credit]<br><input type="checkbox"/> Yes <input type="checkbox"/> No |
| I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my/our end (if not marked, the default option would be 'No')   | <input type="checkbox"/> Yes <input type="checkbox"/> No                       |
| Account Statement Requirement As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly  |  |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID  | <input type="checkbox"/> Yes <input type="checkbox"/> No                       |
| I / We would like to share the email ID with RTA   | <input type="checkbox"/> Yes <input type="checkbox"/> No                       |
| I / We wish to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic<br>Tick the applicable box.If not marked the default option would be in physical) |  |
| I/ We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes')<br>[ECS is mandatory for locations notified by SEBI from time to time]                          | <input type="checkbox"/> Yes <input type="checkbox"/> No                       |

### DP tariff plan(Mandatory)

I/We have read, understood and agree to the terms and conditions of the demat tariff plan. Demat tariff plan to be updated (tick as applicable)

#### One Year Plan

- ☐ Invest New - Rs.480/- + taxes ☐ Invest Lite - Rs.1000/- + taxes  
☐ Invest Wise - Rs.750/- + taxes ☐ Invest Pro - Rs.1500/- + taxes

#### Five Year Plan

- ☐ Invest New - Rs.1950/- + taxes ☐ Invest Lite - Rs.3950/- + taxes  
☐ Invest Wise - Rs.2950/- + taxes ☐ Invest Pro - Rs.5950/- + taxes

Note: Charges excluding statutory levy. In case no plan is selected, then default plan updated would be "Invest New." For details on demat tariff plan, please refer tariff sheet.

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false /misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.



Signature of First Holder

Name: \_\_\_\_\_



Signature of Second Holder

Name: \_\_\_\_\_



Signature of Third Holder

Name: \_\_\_\_\_



### Option form for issue of dis booklet (Mandatory)

To,  
Asit C. Mehta Investment Intermediates Ltd.  
"Nucleus House", Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA.

Dear Sir / Madam

I / We hereby state that  
[Select one of the options given below]

☐ Option 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS Manager) for executive delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager

☐ Option 2:

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

### Basic service demat account (BSDA)

Wish to avail basic services Demat account (BSDA)? ☐ Yes ☐ No

### Common Email/Mobile number declaration

**The relationship mentioned in the given space should only be that of dependent parents, dependent child, spouse or self).**

To,  
Asit C Mehta Investment Intermediates Ltd  
Nucleus House, Savi Vihar Road  
Andheri (East  
Mumbai 400072

Date:

**Sub: Updation of Mobile number and Email id**

I request you to update the mobile number \_\_\_\_\_ for the account opening form submitted. The said mobile number belongs to \_\_\_\_\_ (relationship)

I request you to update the e-mail id \_\_\_\_\_ for the account opening form submitted. The said e-mail id belongs to \_\_\_\_\_ (relationship)

### Declaration

1. I / We confirm having read/been explained and understood the document on policy and procedures of the stock broker and the brokerage structure. I/we further confirm having received, read and understood the contents of the 'Most Important Terms and Conditions (MITC), Rights and Obligations' document, 'Risk Disclosure Document' and 'Guidance Note.
2. I/We have also been informed that the standard set of documents (for broking and depository operations) has been displayed for information on the website of Asit C. Mehta Investment Intermediates Limited. The Rules, Bye-laws and Regulations/Operating Instructions of the Exchanges, the Depository, the Stock Brokers, the Depository Participants and AMFI pertaining to an account which are in force now have been read and understood by me/us.
3. I/We do hereby agree to abide by the provisions of the aforesaid documents and be bound by such rules and laws as are applicable and in force from time to time. I/We hereby declare that the details furnished above are true and correct to the best of my knowledge/belief and I/We undertake to inform you of any change therein immediately. In case any of the above information is found to be false, untrue and/or misleading or misrepresenting, or if there is suppression of any material fact, it will render my/our account liable for termination and further action.
4. I/We further confirm having received a copy of the KYC form.



Signature of First Holder

Name: \_\_\_\_\_



Signature of Second Holder

Name: \_\_\_\_\_



Signature of Third Holder

Name: \_\_\_\_\_

Application Form

(For Second Holder)

(Please fill the form in English and in BLOCK Letters fields marked '\*\*are mandatory fields)

Application Type\*

☐ New

☐ Update KYC Number\*

☒ Normal (PAN is mandatory)

☐ PAN Exempt Investors (refer instruction k)

KYC Type\*

1.Identity Details (Refer instruction A)

PAN

Please enclose a duly attested copy of your PAN Card

Name \* (Same as ID Proof)

Maiden Name (if any\*)

Father/Spouse Name\*

Mother Name\*

Date of Birth\*

Gender\*

☐ M-Male

☐ F-Female

☒ T-Transgender

Marital Status\*

☐ Married

☐ Unmarried

☐ Others

Citizenship\*

☐ IN-Indian

☐ Others - Country

Country Code

Residential Status\*

☐ Resident Individual

☐ Non Resident Indian

☐ Foreign National

☐ Person of Indian Origin

Occupation Type\*

☐ S-Service☐ Private Sector☐ Public Sector☐ Government Sector☐ Retired☐ Housewife☐ Student

☐ O-Others☐ Professional☐ Self Employed

☐ B-Business☐ X- Not Categorised

Photo

2.Proof of Identity (POI) \* (For PAN exempt investor or if PAN card copy not provided) (Refer instruction C & K)

(Certified Copy of any one of the following Proof of Identity[POI] needs to be submitted)

☐ A- Passport

Passport Expiry Date

☐ B- Voter ID Card

☐ C- Pan Card

☐ D - Driving Licence

Driving Licence Expiry Date

☒ E - Aadhaar Card

☐ F - NREGA Job Card

Indentification Number

☐ Z- Others (any document notified by central government)

3. PROOF OF ADDRESS (POA)\*

☒ 3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Refer instruction D)

Address

Line 1\*

Line 2

Landmark

City / Town / Village \*

Distinct\*

Zip / Post Code\*

State / U.T Code\*

State/UT\*

Country\*

Country Code as per ISO 3166

Address Type\*

☐ Residential / Bussiness

☐ Residential

☐ Business

☐ Registered Office

☐ Unspecified

(Certified copy of any one of following Proof of Address[POA] needs to be submitted)

Proof of Address\*

☐ Passport Number

Passport Expiry Date

☐ Voter ID Card

☐

☐ Aadhaar card

☐ Driving Licence

Driving Licence Expiry Date

☐ NREGA Job Card

Indentification Number

☐ Others (any document notified by the central government)

3.2 Correspondance / Local Address Details\* (Refer instruction E)

Same as Current / Permanent / Overseas Address Details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof))

Line 1\*

Line 2

Landmark

City / Town / Village\*

District

Zip / Post Code\*

State / U.T Code\*

State/UT\*

Country\*

Country Code as per ISO 3166

Proof of Correspondences Address

4.Contact Details (All communications will be sent on provided mobile no./ Email - ID) (Refer instruction F)

Email ID

Mobile

Tel.(Off)

Tel.(Res)

5.FATCA/CRS Information (Tick if Applicable)

☐

Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction at the end)

Additional Details Required\* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence \*

Country Code of Jurisdiction of Residence \*

as per ISO 3136

Tax Identification Number or equivalent (if issued by jurisdiction)\*

Place /City of Birth\*

Country of Birth\*

Country Code

as per ISO 3136

Address

Line 1\*

Line 2

Landmark

District

State/UT\*

Zip / Post Code\*

State / U.T Code\*

as per Indian Motor Vehicle Act, 1988

City / Town / Village\*

Country Code

as per ISO 3166

6.Details of Related Person (optional) (Refer instruction G) (in case of additional related persons, please fill 'Annexure B1')

☐ Related Person

☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor

☐ Assignee

☐ Authorized Representative

Name \*

(If KYC number and name are provided, below details of section 6 are optional)

☐ Proof of Identity[POI] of Related Person\* (Refer instruction H)

Certified copy of any one of the following Proof of Identity[POI] needs to be submitted)

☐ A - Passport Number

☐ B- Voter ID Card

☐ D - Driving Licence

☐ E - Aadhaar Card

☐ F - NREGA Job Card

☐ Z- Others (any document notified by central government)

☐ Passport Expiry Date

☐ C - Pan Card

Driving Licence Expiry Date

Indentification Number

7.Remarks(If any)

8.Application Declaration

I hereby declare that the details furnished above are true and correct to be of my knowledge and belief and I undertake to inform you of any changes therein, immediately, In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby declares that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date

Place:

1. Signature / Thumb Impression of Applicant

9.Attestation / For Office Use Only

Documents Received

☐

Certified Copies

KYC Verification Carried Out by (Refer instruction I)

Date

Emp.Name

Emp.Code

Emp. Designation

INSTITUTION DETAILS

Name

Code

Emp. Branch

In-Person Verification (IPV) Carried Out by (Refer instruction J)

Date

Emp.Name

Emp.Code

Emp. Designation

INSTITUTION DETAILS

Name

Code

Emp. Branch



Application Form

(For Third Holder)

(Please fill the form in English and in BLOCK Letters fields marked '\*\*are mandatory fields)

Application Type\*

☐ New

☐ Update KYC Number\*

☒ Normal (PAN is mandatory)

☐ PAN Exempt Investors (refer instruction k)

1.Identity Details (Refer instruction A)

PAN

Please enclose a duly attested copy of your PAN Card

Name \* (Same as ID Proof)

Maiden Name (if any\*)

Father/Spouse Name\*

Mother Name\*

Date of Birth\*

Gender\*

☐ M-Male

☐ F-Female

☒ T-Transgender

Marital Status\*

☐ Married

☐ Unmarried

☐ Others

Citizenship\*

☐ IN-Indian

☐ Others - Country

Country Code

Residential Status\*

☐ Resident Individual

☐ Foreign National

☐ Non Resident Indian

☐ Person of Indian Origin

Occupation Type\*

☐ S-Service☐ O-Others☐ B-Business

☐ Private Sector☐ Professional☐ X- Not Categorised

☐ Public Sector☐ Self Employed

☐ Government Sector☐ Retired

☐ Housewife

☐ Student

Photo

2.Proof of Identity (POI) \* (For PAN exempt investor or if PAN card copy not provided) (Refer instruction C & K)

(Certified Copy of any one of the following Proof of Identity[POI] needs to be submitted)

☐ A- Passport

Passport Expiry Date

☐ B- Voter ID Card

☐ C- Pan Card

☐ D - Driving Licence

Driving Licence Expiry Date

☒ E - Aadhaar Card

☐ F - NREGA Job Card

Indentification Number

☐ Z- Others (any document notified by central government)

3. PROOF OF ADDRESS (POA)\*

☒ 3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Refer instruction D)

Address

Line 1\*

Line 2

Landmark

City / Town / Village \*

Distinct\*

Zip / Post Code\*

State / U.T Code\*

State/UT\*

Country\*

Country Code

as per ISO 3166

Address Type\*

☐ Residential / Bussiness

☐ Residential

☐ Business

☐ Registered Office

☐ Unspecified

(Certified copy of any one of following Proof of Address[POA] needs to be submitted)

Proof of Address\*

☐ Passport Number

Passport Expiry Date

☐ Voter ID Card

☐

☐ Aadhaar card

☐ Driving Licence

Driving Licence Expiry Date

☐ NREGA Job Card

Indentification Number

☐ Others (any document notified by the central government)

3.2 Correspondance / Local Address Details\* (Refer instruction E)

Same as Current / Permanent / Overseas Address Details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof))

Line 1\*

Line 2

Landmark

City / Town / Village\*

District

Zip / Post Code\*

State / U.T Code\*

State/UT\*

Country\*

Country Code

as per ISO 3166

Proof of Correspondences Address

12

4.Contact Details (All communications will be sent on provided mobile no./ Email - ID) (Refer instruction F)

Email ID

Mobile

Tel.(Off)

Tel.(Res)

5.FATCA/CRS Information (Tick if Applicable)

☐

Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction at the end)

Additional Details Required\* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence \*

Country Code of Jurisdiction of Residence \*

as per ISO 3136

Tax Identification Number or equivalent (if issued by jurisdiction)\*

Place /City of Birth\*

Country of Birth\*

Country Code

as per ISO 3136

Address

Line 1\*

Line 2

Landmark

District

State/UT\*

Zip / Post Code\*

State / U.T Code\*

as per Indian Motor Vehicle Act, 1988

Country Code

as per ISO 3166

6.Details of Related Person (optional) (Refer instruction G) (in case of additional related persons, please fill 'Annexure B1')

☐ Related Person

☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor

☐ Assignee

☐ Authorized Representative

Name \*

(If KYC number and name are provided, below details of section 6 are optional)

☐ Proof of Identity[POI] of Related Person\* (Refer instruction H)

Certified copy of any one of the following Proof of Identity[POI] needs to be submitted)

☐ A - Passport Number

☐ B- Voter ID Card

☐ D - Driving Licence

☐ E - Aadhaar Card

☐ F - NREGA Job Card

☐ Z- Others (any document notified by central government)

☐ Passport Expiry Date

☐ C - Pan Card

Driving Licence Expiry Date

Indentification Number

7.Remarks(If any)

8.Application Declaration

I hereby declare that the details furnished above are true and correct to be of my knowledge and belief and I undertake to inform you of any changes therein, immediately, In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby declares that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date

Place:

1. Signature / Thumb Impression of Applicant

9.Attestation / For Office Use Only

Documents Received

☐

Certified Copies

KYC Verification Carried Out by (Refer instruction I)

Date

Emp.Name

Emp.Code

Emp. Designation

INSTITUTION DETAILS

Name

Code

Emp. Branch

In-Person Verification (IPV) Carried Out by (Refer instruction J)

Date

Emp.Name

Emp.Code

Emp. Designation

INSTITUTION DETAILS

Name

Code

Emp. Branch



**For office use only**

UCC Code allotted to the Client: \_\_\_\_\_

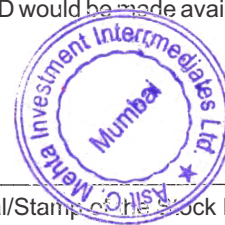
|                                | Documents Verified with original by | Client Interviewed by | In-person verification done by |
|--------------------------------|-------------------------------------|-----------------------|--------------------------------|
| Name of the Employee/ Official |                                     |                       |                                |
| Employee Code / RC Number      |                                     |                       |                                |
| Designation                    |                                     |                       |                                |
| Date                           |                                     |                       |                                |
| Signature                      |                                     |                       |                                |

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



Signature of the Authorised Signatory

Date: \_\_\_\_\_



Seal/Stamp of the Stock broker

**Cheque/ instrument details:**

Details of cheque submitted by client: \_\_\_\_\_

Cheque No.: \_\_\_\_\_ Cheque Date: \_\_\_\_\_

Cheque Amount: \_\_\_\_\_ Bank Name: \_\_\_\_\_

Special Scheme No. / Stamp (if any): \_\_\_\_\_

RC Number of Account mapping: \_\_\_\_\_

**Brokerage Details**

| Segment          | Brokerage Code and Scheme Number |
|------------------|----------------------------------|
| Cash - Delivery  |                                  |
| Cash - Intra Day |                                  |
| Currency         |                                  |
| Mutual Fund      |                                  |

| Segment         | Brokerage Code and Scheme Number |
|-----------------|----------------------------------|
| Future          |                                  |
| Options - Stock |                                  |
| Options Index   |                                  |

**Approver Details**

I authorize the following, towards account opening of the client. Please process the application.

1. Approved by Name: \_\_\_\_\_

2. Designation: \_\_\_\_\_,

Employee / RC Code \_\_\_\_\_

3. Details of Approval: Waiver of Charges / Special scheme Approve / Reduces

4. Signature of the approver: \_\_\_\_\_





|  |  |                            |  |                    |    |
|--|--|----------------------------|--|--------------------|----|
| Broker/Agent Code ARN: <b>ARN-3086</b>                                   |  | SUB-BROKER:                |  | EUIN:              |    |
| <b>Unit Holder Information</b>   |  |                            |  |                    |    |
| <b>Name of the First Applicant :</b>                                     |  |                            |  |                    |    |
| PAN Number :   |  | KYC:                       |  | Date of Birth :    |    |
| Father Name :  |  |                            |  | Mother Name :      |    |
| Name of Guardian :   |  |                            |  | PAN :              |    |
| <b>Contact Address :</b>   |  |                            |  |                    |    |
| City :   |  | Pincode :                  |  | State : Country :  |    |
| Tel.(Off) :  |  | Tel.(Res) :                |  | Email :            |    |
| Fax (Off) :  |  | Fax (Res) :                |  | Mobile :           |    |
| Income Tax Slab/Networth :   |  |                            |  | Occupation Details |    |
| Place of Birth :   |  | Country of Tax Residence : |  |                    |    |
| Tax Id No. :   |  |                            |  |                    |    |
| Politically exposed person / Related to Politically exposed person etc.? |  |                            |  | Yes                | No |
| Mode of Holding :  |  |                            |  | Occupation :       |    |
| <b>Name of Second Applicant :</b>  |  |                            |  |                    |    |
| PAN Number :   |  | KYC:                       |  | Date of Birth :    |    |
| Income Tax Slab/Networth :   |  |                            |  | Occupation Details |    |
| Place of Birth :   |  | Country of Tax Residence : |  |                    |    |
| Tax Id No. :   |  |                            |  |                    |    |
| Politically exposed person / Related to Politically exposed person etc.? |  |                            |  | Yes                | No |
| <b>Name of Third Applicant :</b>   |  |                            |  |                    |    |
| PAN Number :   |  | KYC:                       |  | Date of Birth :    |    |
| Income Tax Slab/Networth :   |  |                            |  | Occupation Details |    |
| Place of Birth :   |  | Country of Tax Residence : |  |                    |    |
| Tax Id No. :   |  |                            |  |                    |    |
| Politically exposed person / Related to Politically exposed person etc.? |  |                            |  | Yes                | No |
| <b>Other Details of Sole/ 1st Applicant</b>                              |  |                            |  |                    |    |
| <b>Overseas Address :</b><br>(In case of NRI investor)                   |  |                            |  |                    |    |
| City :   |  | Pincode :                  |  | Country :          |    |
| <b>Bank Mandate 1 Details</b>  |  |                            |  |                    |    |
| Name of Bank :   |  |                            |  | Branch :           |    |
| A/C No. :  |  | A/c Type :                 |  | IFSC Code:         |    |
| <b>Bank Address :</b>  |  |                            |  |                    |    |
| City :   |  | Pincode :                  |  | State : Country :  |    |
| <b>Bank Mandate 2 Details</b>  |  |                            |  |                    |    |
| Name of Bank :   |  |                            |  | Branch :           |    |
| A/C No. :  |  | A/c Type :                 |  | IFSC Code:         |    |
| <b>Bank Address :</b>  |  |                            |  |                    |    |
| City :   |  | Pincode :                  |  | State : Country :  |    |
| <b>Bank Mandate 3 Details</b>  |  |                            |  |                    |    |
| Name of Bank :   |  |                            |  | Branch :           |    |
| A/C No. :  |  | A/c Type :                 |  | IFSC Code:         |    |
| <b>Bank Address :</b>  |  |                            |  |                    |    |
| City :   |  | Pincode :                  |  | State : Country :  |    |
| <b>Bank Mandate 4 Details</b>  |  |                            |  |                    |    |
| Name of Bank :   |  |                            |  | Branch :           |    |
| A/C No. :  |  | A/c Type :                 |  | IFSC Code:         |    |
| <b>Bank Address :</b>  |  |                            |  |                    |    |
| City :   |  | Pincode :                  |  | State : Country :  |    |

|   |                           |                           |           |
|---|---------------------------|---------------------------|-----------|
| <b>Bank Mandate 5 details</b>   |                           |                           |           |
| Name of Bank :  |                           | Branch :                  |           |
| A/C No. :   | A/c Type :                | IFSC Code:                |           |
| <b>Bank Address :</b>   |                           |                           |           |
| City :  | Pincode :                 | State :                   | Country : |
| <b>Nomination Details</b>   |                           |                           |           |
| Nominee Name :  |                           | Relationship :            |           |
| Guardian Name (If Nominee is Minor) :   |                           |                           |           |
| <b>Nominee Address :</b>  |                           |                           |           |
| City :  | Pincode :                 | State :                   |           |
| <b><u>Declaration and Signature</u></b><br>I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us. |                           |                           |           |
| Date :  |                           | Place :                   |           |
|   |                           |                           |           |
| 1st applicant Signature :   | 2nd applicant Signature : | 3rd applicant Signature : |           |

## DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

|                           |  |  |  |  |  |  |  |                     |  |  |  |  |  |  |  |
|---------------------------|--|--|--|--|--|--|--|---------------------|--|--|--|--|--|--|--|
| Name of the First Holder  |  |  |  |  |  |  |  | Trading Account No. |  |  |  |  |  |  |  |
| Name of the Second Holder |  |  |  |  |  |  |  |                     |  |  |  |  |  |  |  |
| Name of the Third Holder  |  |  |  |  |  |  |  |                     |  |  |  |  |  |  |  |
| DP ID CDSL                |  |  |  |  |  |  |  | Client ID           |  |  |  |  |  |  |  |

| Sr. No. | Purpose   | Signature of 1st Holder | Signature of 2nd Holder | Signature of 3rd Holder |
|---------|---|-------------------------|-------------------------|-------------------------|
|         | Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker |                         |                         |                         |
|         | Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.     |                         |                         |                         |
|         | Mutual fund transactions being executed on Stock exchange order entry platforms.  |                         |                         |                         |
|         | Tendering shares in open offers through Stock Exchange platforms  |                         |                         |                         |

Date : .....

# Other Mandatory Client Documents

### **Most Important Terms and Conditions (MITC) (For non-custodial settled trading accounts)**

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/ or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

## **RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges**

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

### **CLIENT INFORMATION**

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



## **MARGINS**

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

## **TRANSACTIONS AND SETTLEMENTS**

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

## **BROKERAGE**

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

## **LIQUIDATION AND CLOSE OUT OF POSITION**

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

## **DISPUTE RESOLUTION**

21. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
22. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
23. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of

the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

24. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
25. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock- broker.

## **TERMINATION OF RELATIONSHIP**

26. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
27. The stock broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

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

subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

32. The stock broker shall send a complete `Statement of Accounts for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
33. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
34. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
35. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

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

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

times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

40. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
41. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

## **LAW AND JURISDICTION**

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

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

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

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

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



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

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges. Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

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

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

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

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

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

### **1. BASIC RISKS:**

#### **1.1 Risk of Higher Volatility:**

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

#### **1.2 Risk of Lower Liquidity:**

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

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

### **1.3 Risk of Wider Spreads**

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

### **1.4 Risk-reducing orders:**

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

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

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

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

### **1.5 Risk of News Announcements:**

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

### **1.6 Risk of Rumors:**

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

### **1.7 System Risk:**

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

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

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

### **1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such

other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

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

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

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

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

### **2.2 Currency specific risks:**

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

### **2.3 Risk of Option holders:**

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

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

#### **2.4 Risks of Option Writers:**

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

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

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

#### **4. GENERAL**

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

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

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

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

### **TRANSACTIONS AND SETTLEMENTS**

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



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

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

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

#### **DISPUTES/ COMPLAINTS**

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

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## **RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES**

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### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### **Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that " for opening of demat accounts" no charges are payable.
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and /or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye- Laws/Operating Instructions/Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

#### **Statement of account**

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

#### **Manner of Closure of Demat account**

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

#### **Default in payment of charges**

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

#### **Liability of the Depository**

22. As per Section 16 of Depositories Act, 1996,
  1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

#### **Freezing/ Defreezing of accounts**

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.



**Redressal of Investor grievance**

25. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

**Authorized representative**

26. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, 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.

**Law and Jurisdiction**

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye- laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
29. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
31. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
32. 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 Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

## Depository Charges for the Calendar year 2021 (One year plan) & 2021-2025 (Five year plan)

### For Active Clients :

(All prices are excluding taxes as may be applicable)

**Table 1**

| Plan        | One Year Base Rate (Rs.) | Transaction Charges Beyond Free Transactions (Rs.)* | Free Transactions Per Annum | 5 Years Base Rate (Rs.) | Transaction Charges Beyond Free Transactions (Rs.)** | Free Transactions Per Annum |
|-------------|--------------------------|---|-----------------------------|-------------------------|--|-----------------------------|
| Invest New  | 480                      | 30  | 6                           | 1950                    | 20   | 6                           |
| Invest Wise | 750                      | 25  | 10                          | 2950                    | 20   | 10                          |
| Invest Lite | 1000                     | 20  | 15                          | 3950                    | 20   | 15                          |
| Invest Pro  | 1500                     | 15  | 20                          | 5950                    | 20   | 20                          |

- BSDA Plan will be charged Rs.50 per Transaction and AMC NIL.
- Other charges are produced below for information.

**Notes\***and**\*\***; Please see Table 2 below and Entries against Transaction Charges (Buy Side) or (Sell Side) Refer to those Transactions resulting in delivery.

**Table 2**

| Heading   | One Year Plan Transaction Charges | 5 Year Plan Transaction Charges Subject to review every year |
|---|-----------------------------------|--|
| Demat Processing                                      | Rs. 50/- per certificate          | NIL  |
| Remat processing                                      | NIL                               | NIL  |
| Pledge  | Rs. 20/- per scrip                | NIL  |
| Unpledge  | Rs. 20/- per scrip                | NIL  |
| Transaction charges (buy side delivery)               | NIL                               | NIL  |
| Transaction charges (sale side delivery)              | As above*                         | As above**   |
| Transaction charges-Off market and Inter DP transfers | Rs. 50/- Per Scrip                | NIL  |
| Transmission charges                                  | NIL                               | NIL  |
| Modification  | Rs. 60/- Per request              | NIL  |
| Activation  | NIL                               | NIL  |
| Unfreezing of Account                                 | Rs. 250/- Per request             | NIL  |

## Important Points :

1. Customers who are Inactive and have NIL holding will be charged RS. 250/- as depository charges. All the New demat accounts will be on default plan namely "Invest" with annual charge **of Rs.250.00 + GST charges**. Every transaction as described in Table 2 above, including buy and sale transactions, will be charged therein at Rs 50 plus GST or as in the Table 2 ,whichever is higher. Please be advised to complete the account closure process to stop further levy of DP charges
2. Please ensure to have your correct email address and mobile number updated in our system at all time to enable sharing vital communication
3. You may opt for the change of tariff plan (Active clients) by logging in to our website. This window is open to you upto 25th December, 2020. In event of non selection of any plan by customer, we will continue with last year plan with new rates. If no plan was selected then minimum plan of RS. 480/- will be selected.
4. Client may shift from annual plan to five year plan by paying full amount irrespective of the residual period till December 2025. No pro rata charges will be allowed.
5. The clients who were under AUM based plans will be shifted to annual plan Invest Pro with a yearly charge of Rs. 1500/-.
6. AUM plan is applicable to those customers who have Demat Holding exceeding Rs. 25 Lakhs and have been inactive during 2019. Clients who have not done any transactions in any of the products like MF, Equity, Derivatives, Gold Bonds, Currencies or Govt.Securities during this calendar year 2020 till December 25 and had DP balance of Rs 25 Lacs as of the cut off date of December 25,2020 will be covered under this plan.
- 7. All annual and five year plans are non-refundable.**
8. Under each of the choices, the Annual Maintenances Charges are for 1 or 5 years as the case may be . All transaction charges in Table 2 are for one year only and subject to change based on the charging environment.
- 9. Taxes at actuals will be charges extra. Currently GST@18% will be charged.**
10. In event of non-payment of DP Tariff Charges / other DP charges, ACMIIL will freeze / suspend the demat account and settlement / debit instructions will not be processed for demat account. The unfreezing of the account will invite a restoration fee of Rs. 250/- plus applicable taxes.
11. ACMIIL reserves the right to revise the DP tariff slabs and other charges by displaying the same on web site investmentz.com. In such an event, it will be done from prospective effect only.
- 12. As per CDSL communiqué reference number CDSL/OPS/DP/POLCY/2020/8 dated January 3, 2020, in case of off-market transfers, applicable stamp duty will be levied on the transferor before executing the same in the depository system.**
13. We request clients to clear old dues also which are displayed on Tariff Plan Selection Link. We will be at liberty to share the information about the dues and non-paying clients with appropriate data reporting and sharing platforms as well as be free to issue public notices on media like newspapers and websites.

# Policy Documents

## Guidelines for Dealing

You have executed various documents with us, which includes:

### Know Your Client Form (KYC):

1. The Account will be in the name indicated in the KYC Form and the Statement of Accounts, contract cum bill will be issued only in this name.
2. Payments will be made only to the bank account indicated in the KYC Form and full details about the bank account will be mentioned on the cheque.
3. You should indicate any change in the information supplied by you in the KYC Form by submitting the account modification form along with valid proof of such changes.
4. Receipt of shares will be only from the DP account indicated in this form. If the shares are delivered from a different DP account then your shares may be auctioned, unless the shares are received within stipulated time in ACMIL's pool account by way of off-market transfer .
5. Our delivery will be only to the account stated by you and our CDSL DP account will be treated as default delivery account. If you have more than one account in your name, give details and proofs of all the accounts.

### Rights and Obligations Documents:

You have received, read and understood the rights and obligations pertaining to Stock market and depository operations of the company. These documents contain the rights and obligations of ACMIL as a Stock broker and a Depository Participant, the Client (Beneficial Owner) and the Authorised Person: a)

### Risk Disclosure Document:

This document lists the various risks associated with dealing in equity markets. The Client is advised to read this Risk Disclosure Document carefully and in detail. Specific attention is invited , but not limited to the following:

1. Market Investments are subject to risks such as volatility, lower liquidity, wider spreads etc.
2. News Announcements have an impact on share prices. These may be through formal channels such as the company, exchange or news media or through rumors.
3. Technology risk is a major risk that should be understood since there is lot of reliance on technology. Network congestion could lead to inability of our systems in executing the trades. We will not compensate loss of money or opportunity arising out of such failures. While every attempt is made to keep the systems up and running, at times the situation is beyond our control due to the complexity of the components involved in the network.
4. In case of derivative including currency derivative you are exposed to the Effect of Leverage or Gearing, Risk of option holders, Risks of option writers, Currency volatility etc
5. The general section includes the rights and obligations of investors towards receipt and payment of shares and money. It is also important to note that in event of any dissatisfaction a formal complaint should be filed with the broker to safeguard your legal interest.

## Guidance Note – Do's and Don'ts for Trading on the Exchange(s) for Investors

You have received, read and understood the documents relating to Do's and Don'ts for trading on the Exchange (s) which list down the care to be taken by investors before they begin to trade, when their trading account is active and thereafter

### Running Account Authority Letter:

You are aware that the transaction confirmations, contracts/bills, etc. would be processed Exchange wise, Segment wise. However, for ease of fund movement, you have requested ACMIL to maintain a single financial account on running account basis in the books of ACMIL for both exchanges. Kindly note that this running account authority is valid until you revoke the same in writing. Further note that you have authorized us to retain Rs.10,000/- (net amount across segments and across stock exchanges) as permitted by Exchanges while settling your account.

## Important Policies and Procedures

### Placing of Order:

Orders should be placed with our local representative's office. Please take the following precautions while placing the order:

1. Orders can be placed only in your name and against the trading account code allotted to you.
2. Do not trade in name of any other person such as ACMIL's associate or his relatives. ACMIL will not be responsible for trades that are not done in such accounts.
3. Please indicate clearly the scrip name, quantities, rates, expiry month etc. of the transactions that you wish to execute.
4. In event there are multiple names having a few common names then please take extra precaution in giving the full name of the scrip.
5. Check if the scrip is in Trade-to-Trade Segment. In this segment no square off is possible during the day and you have to deliver what you have sold and will have to pay for and receive for your purchases.
6. The stock exchange has put many shares in Z group because these companies are not complying with their obligations to investors. Exercise extra caution in dealing with Z group shares.
7. Exercise caution while dealing in illiquid scrips. The Exchanges may ask you for justification for dealing in such scrips.
8. ACMIL follows the VAR based limit as available in the Exchange whereby scrips which are highly volatile and risky requires 100% margin. ACMIL generally does not refuse orders for penny stocks. However, at times, based on market conditions and volatility in particular scrip as well as in exceptional circumstances, ACMIL may refuse an order for any stock (including those considered as penny stocks). It is advisable not to deal in penny stock as it contains higher risk.
9. In case of Derivatives (including currency derivatives) trades please understand the working of the derivatives market especially frequent changes in margins during the period of open positions. You may have to pay higher margins on same positions if there is increase in volatility in the scrip.

### Order Confirmation / Contracts:

1. Please obtain oral order confirmation from ACMIIL's local representative's office immediately on placing the order. Written/sms confirmation is available every day in the evening for all the orders that were placed during the day.
2. ACMIIL Head office arranges to dispatch contracts within 24 hours of the trades. There could be delay in receipt by you due to delivery / courier delays.
3. Wherever you give consent for E-Contract along with your email ID, contract will be directly sent to respective email ID on same day of trading.
4. The contracts contain time stamp of the execution of the order on the trading system. Trade ID generated from the stock exchange system is also printed on the contract.
5. You can check the authenticity of the contract by logging onto BSE or NSE website (i.e., on [www.bseindia.com](http://www.bseindia.com) or [www.nseindia.com](http://www.nseindia.com))
6. The contract is a legal document. Please preserve it for Income Tax purpose and for future references (if any).
7. No separate bill will be issued to make payment. The document given to you is contract cum bill.
8. ACMIIL will not be responsible for trades that are not done through it or contracts that do not have the statutory information about the time and identity of the trades.

### Risk Management:

ACMIIL has a unique system to monitor risk at the client level and not just at the branch level. This system has been introduced for your safety. It should not so happen that a handful of clients overtrade and defaults on their commitments and honest clients are not paid for their dues. ACMIIL has the following system:

1. In case of trading accounts, the limits are given based on Ledger balance and DP stock with ACMIIL. The Trading multiples differs from client to client based on the Grading and other parameter
2. Initial margin deposit is mandatory for trading in cash, derivatives and currency derivatives segment.
3. Limits/Gradings can be upgraded on handing over additional margin / deposit through ACMIIL's local representative's office.
4. In event you have not cleared previous debits on account of shares purchase or mark to market loss, our system will block the limit for next trading day.
5. Margin may be given in the form of funds and shares. We separately maintain Margin accounts for shares and funds, special instructions have to be given to us to release the shares from the margin account.
6. You will be graded based on positive and negative parameters. Exposure limit is provided to you based on the funds and security balance available with ACMIIL. Multiple exposures are set based on your Grading and other parameters. The exposures are blocked based on VAR and ELM margins as stipulated by the Exchange. For detailed information in respect of the same, please contact our Customer Service Helpdesk.
7. ACMIIL may add extra margin for a particular scrip or for all scrips when the particular scrip or market as a whole witnesses high volatility.
8. ACMIIL will close the Client's account (i) on receipt of account closure request from the Client, (ii) if the Client is not traceable, (iii) if the Client fails to fulfill his obligations, (iv) if the Client indulges in unfair trade practices, (v) on ACMIIL's presumption that the Client is risky for the overall well being of the systems in place, (vi) any direction from SEBI/Exchange or such other authorities, (vii) such other circumstances as ACMIIL might think just and proper.

9. A Client may be suspended (i) on receipt of Client's prior written request, (ii) on continuous default by the Client in meeting his obligations, (iii) under any circumstances mentioned in the clause 8 above.
10. ACMIIL has also introduced the auto collateral margin for the shortages in future and option segment to be debited in clients demat account. ACMIIL will take standing instruction one time to debit the clients demat account for debiting approved securities towards Margin shortage.

### **Brokerage Rates:**

The brokerage is charged on the intraday / squared-off transaction and delivery transaction, separately. These rates are indicated in the Welcome Letter sent to you along with your login ID and Password for viewing your reports/placing orders through our website.

Statutory charges include stamp duty, as per rates applicable. We pay stamp duty as per the deadline prescribed by authority. Service Tax is deducted as per service tax rules. Transaction charges are the fees charged by stock exchanges. These rates vary as per the instructions of collecting authority.

### **Settlement of Money:**

1. All payments should be in the name of Asit C Mehta Investment Intermediates Ltd. and by cross cheque only or should be made in ACMIIL's designated bank account by electronic funds transfer from your designated bank account only. ACMIIL will not be responsible for cheques that are written in any other name and delivered to ACMIIL's associates.
2. Do not pay cash to ACMIIL's associates or any other person for the contracts entered into by ACMIIL.
3. Cheques should be given only against the contracts executed in your name. ACMIIL will not be responsible for cheques issued in ACMIIL's favor but against dues of some other client / client code.
4. ACMIIL will issue cheques/transfer funds for amounts due to you only in favor of account name and account number indicated in the Registration Kit given by you.
5. We have the facility of directly crediting your bank account through National Electronic Fund Transfer (NEFT) whereby your bank account is credited with the fund in a day's time after we issue a pay out. For NEFT transfer your bank account need to be under core banking solution (CBS) network and should have IFSC Code. If your bank account does not have IFSC Code then at par cheque will be issued to you and payable at your location.
6. Several investors want to reinvest funds and due to time taken for transfer of funds to and from they prefer to take the payout cheques on request only. Therefore ACMIIL have assigned systems, which has a request from the investor as a starting point for making payments. If you desire to pay and receive contract wise please inform ACMIIL's local representatives / Website (on line customers) about such request. Payouts will not be done automatically unless the credit balances are in our books for sufficiently period of time. Cheques and drafts issued by ACMIIL will be payable at the location where the client is registered with ACMIIL. If a client is mapped with Jagdishpur and he is having his bank in Lucknow, the payment released by ACMIIL will be payable Jagdishpur and not payable Lucknow. If you wish to be paid at Lucknow then it is desirable to have an account with a bank that provides online banking.
7. All requests received by us by 8.30 a.m. are processed for payment by ACMIIL by 2.30 pm on the same day.
8. ACMIIL has an automated program that checks the net receivable for each client and give necessary instructions to the bank as registered by ACMIIL in the Registration Kit.



9. Do not give instructions to pay in any account which is not mentioned in the KYC form / Registration Kit. ACMIIL will only honor one instruction at a time. If there are any changes in your bank name/details, please write to ACMIIL about the same with relevant valid proofs. It will take at least 48 hours to make the changes.
10. In event you do not pay for outstanding obligation/debit within a specified time frame and then ACMIIL is at liberty to sell off your share to recover the dues.
11. ACMIIL has a system to sell securities on failure to clear the Fund obligation / margin shortage by you. ACMIIL intimates the shortage of margin and Fund obligation by SMS on your registered mobile number and on website [www.investmentz.com](http://www.investmentz.com). We will levy late payment charge 18% p.a., in case the debit balances are not settled by crediting the payment within 2 trading days for cash segment and 1 trading day for derivative segment. This will be irrespective of shares sold in auto square off. ACMIIL also charges flat 1% + Service Tax, on all cheques bounced or wrongly reported to it.

### **Settlement of Shares:**

1. We have created a stock ledger that keeps a track of all deliveries given and received from your DP ID. If any stocks are delivered excess by you, the same are credited to your account and returned back to you.
2. Auto Pay In facility is available to you if you give us a power of attorney to deliver shares on your behalf. ACMIIL has an automated program that checks your pay in obligation and picks the shares from your account for delivery to the market. This frees you from the hassle of making & giving delivery slips daily for transfer to our pool account. However, this facility will be available only to the Default DP Account holder and if the Client sells from other DP, he has to give DIS latest by T+1 day.
3. In event you have CDSL account with us and have given ACMIIL Power of Attorney to deliver on your behalf, and then ACMIIL will do the pay in.
4. In case you do not have CDSL account with ACMIIL, then you have to deliver the shares in ACMIIL's pool account only. Do not give delivery in any account other than ACMIIL's pool account.
5. Do not give blank transfer instructions slip to ACMIIL's associate's office. They could be liable for misuse and ACMIIL will not be responsible for such misuse.
6. ACMIIL will not accept delivery from any account other than the account number indicated by you in the Registration Kit. If you give shares from any other account, then your shares will get auctioned despite giving delivery to ACMIIL since ACMIIL's system rejects such deliveries received from other accounts. If you have more than one DP account in your name then please give all the numbers and proofs of your accounts at the time of doing Registration itself.
7. Shares that are received by ACMIIL from account other than those that are part of ACMIIL's master are returned back to the same DP ID from which they are received by ACMIIL.
8. Deliveries are made twice a day to all the clients based on the status of their financial accounts. If the account is in debit then the last settlement shares are not released.
9. Please read the accounts reports section to get full information on shares delivered and received by you.
10. Shares on Hold: In event you do not pay on time, i.e., clear funds are not available to us before pay in, then we move your stocks to a separate account and accordingly these shares are kept on hold. We also have to move the stocks to a separate account if you sell off the stock in subsequent settlement. No notice for recovery of dues is necessary in the event you do not pay for the same.

11. The benefits of shares on hold are that (i) dividend and bonus is credited to the account of the beneficiary whose shares are on hold, (ii) the dividend is credited every Saturday following the date on which it was due, (iii) ACMIIL does not wait for receipt of the same from the company, (iv) All amounts that are less than Rs. 5,000 are credited to your account on weekly basis. This is a service provided by ACMIIL to the investors. In case of bonus ACMIIL will have to wait for the receipt of shares from the company and then only they are credited.

#### **Close Out Procedure:**

The stock exchange settles the trades done by the brokers at the net exchange level and not gross client level. Hence it is our responsibility to settle the deliveries between our clients. Shares which are delivered short by the clients and which have to go to the exchange are auctioned by the exchange. But shares that are delivered short internally are settled in the following manner:

1. If a client "A" has failed to deliver to client "B" in settlement "X" then we purchase short delivery from the market on the day following the settlement of "X" trades.
2. These shares are purchased in the name of client "B", the recipient of shares.
3. The price at which the shares are purchased is taken as a base and 4% is added to the same. This price is used for the purpose of closing out the trade in Settlement "X".
4. The buyer always gets a profit of 2-3% after removing the transaction charges.
5. 4% profit to buyer has been decided based on the statistical analysis of rates at which auctions take place in the markets.
6. In case there is upper circuit on the shares to be purchased, then the same will be purchased only after the day the circuit is removed and there is free trading on shares.
7. There are requests received from the investors either to purchase or not to purchase the shares that are received short. It is our duty to deliver and the system adopted by us ensures delivery. Since the entire procedure is system driven it is not possible to adhere to individual requests.
8. It also helps us to keep an audit trail of trades and deliveries.

#### **IST Procedure:**

This is a facility provided by us for you to adjust your deliveries, which are yet to be received from the market. It is again an automated procedure that adjusts the sales against purchases made during the last two days. Please note that Inter Settlement Transfer (IST) may not always happen since deliveries may not be received against your purchases. The transaction could be under auction / close out. You would run the risk of auction if you sell before T+3 day of purchase or actual receipt of the delivery. The law requires that you should deliver the shares on T+1 day of your transaction. Currently the charge on IST transaction is Rs. 12/- (inclusive of service tax). These charges are subject to change from time to time.

#### **Account Information:**

We have provided you a 24 X 7 access to our back office systems to get all the information related to your dealing with us. Please obtain a password from our office to access the systems. The first password is included in the enclosed mail. Please put a new password in order to maintain confidentiality. Our advice is to change the password every 15 days to prevent misuse.

**Management:**

Chairman and Whole-time Director: Mr. Asit C. Mehta

Designated Directors : Mrs. Deena A. Mehta & Mr. Kirit H. Vora

**SEBI / Regulatory Registration nos of Group Company**

- BSE / NSE/ Single Regn No. : INZ000186336
- Merchant Banking: INM000010973
- DP Reg: IN-DP-685-2022
- DP ID -CDSL12013200
- Research Analyst: INH000002483
- PMS: INP000005801

**Membership:**

NSE: Cash, Derivatives, Debt & Currency Derivatives

BSE: Cash & Derivatives

SEBI: Merchant Banking category 1 /Research Analyst/PMS

CDSL: Depository Participant

Commodities: NSEL & COTTON ASSOCIATION OF INDIA (through associate company)

**Principal Banker:**

State Bank of India

**Call and Trade No.:**

022-2858 4444 / 022-6787 8987

**Customer Service No.:**

022-2858 4545 / 022-6787 8988

# Asit C. Mehta

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