

Sl. No.

CLIENT REGISTRATION FORM





4A

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To,

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
Tel : +91-11-49002200 | E-mail : info@4asecurities.com
Website : www.4asecurities.com

IN PERSON VERIFICATION

Name of Employee					
Employee Code			Signature of Employee		
Branch Office Code		Date		Place	
Name of Client			Signature of Client	1 (X)	

Mode of Trading (Please tick any one & Sign below)

1. Internet Base Trading (Online) (₹ 200/- + DP AMC as applicable)	<input type="checkbox"/>	Signature of Client	2 (X)
2. Non Internet Base Trading (Offline) (NIL + DP AMC as applicable)	<input type="checkbox"/>		

To,

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
Tel : +91-11-49002200 | E-mail : info@4asecurities.com
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Employee Code			Signature of Employee		
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1. Internet Base Trading (Online) (₹ 200/- + DP AMC as applicable)	<input type="checkbox"/>	Signature of Client	2 (X)
2. Non Internet Base Trading (Offline) (NIL + DP AMC as applicable)	<input type="checkbox"/>		

INTRODUCER'S DETAIL

Introduction : Introduced by another constituent/director or employee or trading member/any other person (please specify)

Name of Introducer :

Address of Introducer* :

City..... Pin Code :

Contact No. of the Introducer :

Signature of Introducer :

Identity Proof Submitted* : Identity No. Validity:...../...../.....

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

*Note: Please attach self attested copy of Identity Proof and Address Proof of the Introducer.

(Relationship Manager/Remisier's Details)

Name & Designation of RM/Remisier : Client Name :

who interviewed the client : 3 (X)

Employee Code/Remisier Code : Client's Signature :

Signature of RM/Remisier : Dated :

INTRODUCER'S DETAIL

Introduction : Introduced by another constituent/director or employee or trading member/any other person (please specify)

Name of Introducer :

Address of Introducer* :

City..... Pin Code :

Contact No. of the Introducer :

Signature of Introducer :

Identity Proof Submitted* : Identity No. Validity:...../...../.....

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

*Note: Please attach self attested copy of Identity Proof and Address Proof of the Introducer.

(Relationship Manager/Remisier's Details)

Name & Designation of RM/Remisier : Client Name :

who interviewed the client : 3 (X)

Employee Code/Remisier Code : Client's Signature :

Signature of RM/Remisier : Dated :

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4A SECURITIES LIMITED

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.	DATE
NSE	Cash	INB231456030	MAY 21,2012
NSE	F&O	INF231456030	MAY 21, 2012
NSE	Currency Derivatives	INE231456030	MAY 21, 2012
BSE	Cash	INB011456036	APRIL 10,2012
BSE	F&O	INF011456036	APRIL 10, 2012

Registered Office :

225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Corporate Office :

225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com

Compliance Officer Details :

Name : Amit Kumar
Phone No. : +91-11-49002220
Email id : compliance@4asecurities.com

CEO Details

Name : Mr. Arvind Kumar Srivastava
Phone No. : +91-11-49002200
Email id : arvind.srivastava@4asecurities.com

For any grievance/dispute please contact 4 A Securities Limited at the above address or email id: info@4asecurities.com and Ph.: +91-11-49002200. In case not satisfied with the response, please contact the concerned exchange(s) at :

Exchange Name	Email ID	Phone No.
NSE	ignse@nse.co.in	+91-22-26598100
BSE	is@bseindia.com	+91-22-22721233/34
SEBI	sebi@sebi.gov.in	+91-22-26449000

KNOW YOUR CLIENT (KYC) FOR INDIVIDUALS ONLY



4A SECURITIES LIMITED SEBI Regn. : NSE-INB/F/E231456030 | BSE-INB/F011456036 | IN-DP-CDSL-685-2013
 Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
 Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Applicaition No. _____

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document)

Name _____ **Father's/Spouse Name** _____

2. Gender Male Female **B. Marital Status** Single Married **C. Date of Birth** DD / MM / YYYY

3. Nationality Indian Others (Please Specify) _____

4. Status (Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRI & Foreign National)

5. PAN _____ **Copy of PAN attached**

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

6. Proof of Identity submitted for PAN exempt cases (Please see guideline overleaf - 'D') (Please Specify) _____

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City/Town/Village _____ State _____ Country _____ Pin Code _____

2. Contact Details

Tel. (Off.) (ISD) (STD) _____ Tel. (Res.) (ISD) (STD) _____ Fax (ISD) (STD) _____

Mobile (ISD) (STD) _____ E-mail Id : (in BLOCK LETTER) _____

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card * Latest Bank A/c Statement/Passbook * Latest Telephone Bill (only Land Line) * Latest Electricity Bill * Latest Gas Bill Others _____

* Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** DD / MM / YYYY

4. Permanent Address of Resident Applicant if different from above B-I OR Overseas Address (Mandatory) for NRI

City/Town/Village _____ State _____ Country _____ Pin Code _____

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card * Latest Bank A/c Statement/Passbook * Latest Telephone Bill (only Land Line) * Latest Electricity Bill * Latest Gas Bill Others _____

* Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** DD / MM / YYYY

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓)) : Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs

OR

Net-worth in ₹. _____ as on (date) ____/____/____ (*Net worth should not be older than 1 year)

2. Occupation Please tick (✓) any one and give brief details)

Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired

Housewife Student Forex Dealer Others (Please specify) _____

3. Please tick, if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) For definition of PEP, please refer guideline overleaf

4. Any other information: _____

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place: _____ Date: DD / MM / YYYY

SIGNATURE OF APPLICANT

4

IN-PERSON VERIFICATION (FOR OFFICE USE ONLY)

Name : _____ Auth. Person/ Reg.Sub Broker/ Employee sign : _____

AP no/Reg.Sub Broker No./Emp. code : _____ Date : DD / MM / YYYY

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."



A. IMPORTANT POINTS:

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

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

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

C. Proof of Address (POA)

List of documents admissible as Proof of Address:

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

KNOW YOUR CLIENT (KYC) FOR NON - INDIVIDUALS ONLY



4A SECURITIES LIMITED SEBI Regn. : NSE-INB/F/E231456030 | BSE-INB/F011456036 | IN-DP-CDSL-685-2013

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PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

Please fill in ENGLISH and in BLOCK LETTERS with black ink

Applicaiton No. _____

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation/Registration; Please do not abbreviate the Name) _____

2. Date of Incorporation DD / MM / YYYY **Place of Incorporation** _____

3. Registration No. (e.g. CIN) _____ **Date of commencement of business** DD / MM / YYYY

4. Status (Please tick (✓)) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust/Charities/NGOs FI
 FII HUF AOP Bank Government Body Non-Government Organisation Defence Establishment
 Body of Individuals Society LLP Others (Please Specify) _____

5. Permanent Account Number (PAN) (MANDATORY) _____ Copy of PAN Card attached

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence _____

City/Town/Village _____ State _____ Country _____ Pin Code _____

2. Contact Details

Tel. (Off.) (ISD) _____ (STD) _____ Tel. (Res.) (ISD) _____ (STD) _____ Fax (ISD) _____ (STD) _____

Mobile (ISD) _____ (STD) _____ E-mail Id : (in BLOCK LETTER) _____

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

* Latest Telephone Bill (only Land Line) * Latest Electricity Bill * Latest Bank A/c Statement/Passbook
 Registered Lease/Sale Agreement of Residence Any other proof of address document (as listed overleaf) _____

* Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** DD / MM / YYYY

4. Permanent Address of Resident Applicant if different from above B-1 OR Overseas Address (Mandatory) for NRI

City/Town/Village _____ State _____ Country _____ Pin Code _____

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (3) against the document attached.

* Latest Telephone Bill (only Land Line) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises Any other proof of address document (as listed overleaf) (Please Specify) _____

* Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** DD / MM / YYYY

C. Other Details (please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓)) : Income range per annum : Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac

25 Lacs-1 Crore > 1 Crore

2. Net-worth in ₹. _____ as on (date) DD / MM / YYYY (*Net worth should not be older than 1 year)

3. Name, PAN, DIN/UID, residential address and photograph of Promoters/Partners/Karta/Trustees/whole time directors (Please fill Annexure for the details)

4. Is the entity involved/providing any of the following services Yes No

- For Foreign Exchange / Money Changer Services Yes No
- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) Yes No - Money Lending / Pawning Yes No

5. Any other information: _____

DECLARATION

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

Place: _____ Date: DD / MM / YYYY

NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)

5 _____

IN-PERSON VERIFICATION (FOR OFFICE USE ONLY)

Name : _____ Auth. Person/ Reg.Sub Broker/ Employee sign : _____

AP No/Reg.Sub Broker No./Emp. code : _____ Date : DD / MM / YYYY

"Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant."



INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

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

C. Proof of Address (POA)

List of documents admissible as Proof of Address:

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

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

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant _____

I. Name _____
PAN _____ DIN (For Directors) / UID (for Others) _____
Residential /Registered Address _____

City/Town/Village _____ Pin Code _____
City _____ Country _____
Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
Wether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) No



II. Name _____
PAN _____ DIN (For Directors) / UID (for Others) _____
Residential /Registered Address _____

City/Town/Village _____ Pin Code _____
City _____ Country _____
Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
Wether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) No



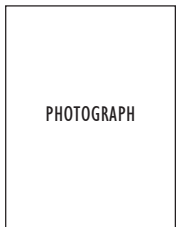
III. Name _____
PAN _____ DIN (For Directors) / UID (for Others) _____
Residential /Registered Address _____

City/Town/Village _____ Pin Code _____
City _____ Country _____
Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
Wether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) No



IV. Name _____
PAN _____ DIN (For Directors) / UID (for Others) _____
Residential /Registered Address _____

City/Town/Village _____ Pin Code _____
City _____ Country _____
Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
Wether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) No



6 _____
Name & Signature of the Authorised Signatory(ies)

Date dd / mm / yyyy

PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person

DECLARATION BY HUF

ANNEXURE

To,
4A SECURITIES LIMITED

As our HUF firm wishes to open an account with your DP in the said name..... we beg to say that the first signatory to this letter, ie..... is the Karta of the Joint Family and other signatories are the audit co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body to co-parceners of the joint family. We all undertake that claims due to the DP from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatories is a Karta including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby under take to inform the DP of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

S. No.	Name	Date of Birth	Sex	Relation	Signature
1					
2					
3					
4					
5					

✦ SIGN of Karta

KNOW YOUR CLIENT (KYC) APPLICATION FORM

FOR INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS

ANNEXURE-2

Please affix your recent passport size photograph and sign across it

A. IDENTITY DETAILS

Name of the Applicant, Father's/Spouse Name, Gender, Date of Birth, Status, PAN, Unique Identification Number (UID)/ Aadhaar, if any, Specify the proof of Identity submitted

B. ADDRESS DETAILS

Address for, Correspondence, Contact Details, Specify the proof of address submitted for correspondence address, Permanent Address, Specify the proof of address submitted for permanent address

C. OTHER DETAILS

Gross Annual Income Details (please specify), Occupation (please tick any one and give brief details), Please tick, If applicable, Any Other Information

DECLARATION

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

Signature of the Applicant, Date

FOR OFFICE USE ONLY

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

Signature of the Authorised Signatory, Date

Seal/Stamp of the Intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FORM

FOR NON-INDIVIDUAL

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

FOR NON-INDIVIDUAL

A. IDENTITY DETAILS

Name of the Applicant :

Date of incorporation :

Place of Incorporation :

Date of Commencement of Business :

PAN : Registration No. (e.g. CIN) :

Status (please tick any one) : Private Limited Co. Public Ltd. Co. Body Corporate Partnership

Trust Charities NGO's FI FII HUF Bank

Government Body Non-Government Organization Defense Establishment

BOI Society LLP Others (please specify).....

B. ADDRESS DETAILS

Address for :

Correspondence City/Town/Village : Pin Code :

State : Country :

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

Fax : E-mail :

Specify the proof of address submitted for correspondence address :

Registered Address :

(if different from above) City/Town/Village : Pin Code :

State : Country :

Specify the proof of address submitted for Registered Address :

C. OTHER DETAILS

Gross Annual Income Details (please specify): Income Range per annum

Below ₹ 1 Lac ₹ 1-5 Lac ₹ 5- 10 Lac ₹ 10-25 Lacs ₹ 25 Lacs - 1 Crore Above ₹ 1 Crore

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

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors

Name (1) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID :

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

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

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

Any Other Information :

Name (2) :

PAN :

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Residential :

Address City/Town/Village : Pin Code :

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

State : Country :

DIN / UID :

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

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

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

Any Other Information :

Name (3) :

PAN :

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Residential :

Address City/Town/Village : Pin Code :

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

State : Country :

DIN / UID :

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

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

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

Any Other Information :

Name (4) :

PAN :

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Residential :

Address City/Town/Village : Pin Code :

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

State : Country :

DIN / UID :

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

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:

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

Any Other Information :

DECLARATION

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

Name :

Signature of the Authorised Signatory 8

Date :

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FOR OFFICE USE ONLY

(Originals verified) True copies of documents received

(Self-Attested) Self Certified Document copies received

Signature of the Authorised Signatory

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

 Date :

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

Seal/Stamp of the Intermediary

A. IMPORTANT POINTS

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

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

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

ICSI, Bar Council etc., to their Members; and Credit cards/ Debit cards issued by Banks.

C. Proof of Address (POA)

List of documents admissible as Proof of Address:

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

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

D. Exemptions/clarifications to PAN

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

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

Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

the copy).

2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on

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

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

A. BANK ACCOUNT(S) DETAILS

Bank Name (1) :

Branch Address :

City/Town/Village :Pin Code :

State : Country :

Bank Account No. :

Account Type : Saving Current Others - in case of [NRI NRE NRO]

MICR Number : IFSC Code :

Bank Name (2) :

Branch Address :

City/Town/Village :Pin Code :

State : Country :

Bank Account No. :

Account Type : Saving Current Others - in case of [NRI NRE NRO]

MICR Number : IFSC Code :

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name (1) :

Depository Name : NSDL DP ID : BO ID
 CDSL DP ID : BO ID

Beneficiary Name :

Depository Participant Name (2) :

Depository Name : NSDL DP ID : BO ID
 CDSL DP ID : BO ID

Beneficiary Name :

C. TRADING PREFERENCES

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

Exchanges	Segments					
NSE	Cash	<input type="checkbox"/> 9	F&O	<input type="checkbox"/> 10	Currency	<input type="checkbox"/> 11
BSE	Cash	<input type="checkbox"/> 12	F&O	<input type="checkbox"/> 13		

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

D. PAST ACTIONS

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

1.
2.
3.

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

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

Registered Office Address :

City/Town/Village : Pin Code :

State : Country :

Phone No. : Fax : Website :

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

Name of Stock Broker :

Name of Sub-broker (if any) :

Registered Office Address :

: Pin Code :

Client Code : Exchange :

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

F. ADDITIONAL DETAILS

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

Physical Contract Note Electronic Contract Note

Specify your Email id, if applicable :

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

- Number of years of Investment/Trading Experience Years

- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of Company Firm Others.....

- Any other information :

G. INTRODUCER DETAILS (Optional)

Name of the Introducer :

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

Address of Introducer :

City/Town/Village : Pin Code :

State : Country :

Phone No. :

Signature of Introducer :

H. NOMINATION DETAILS (for Individuals only)

I/We wish to nominate I/We do not wish to nominate

Name of the Nominee :

Relationship with the Nominee :

PAN of Nominee : Date of Birth of Nominee :

Address of Nominee :

City/Town/Village :Pin Code :

State :Country :

Phone No. :

If Nominee is a minor, details of guardian

Name of Guardian :

Address of Guardian :

City/Town/Village :Pin Code :

State :Country :

Phone No. :

Signature of Guardian :

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

1st Witness

Name :

Signature :

Address :

.....Pin Code :

2nd Witness

Name :

Signature :

Address :

.....Pin Code :

DECLARATION

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

Place :

Date :

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

FOR OFFICE USE ONLY

UCC Code allotted to the Client :

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

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

Signature of the Authorised Signatory _____ Date Seal/Stamp of the Stock Broker _____

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:
 - Copy of ITR Acknowledgement
 - Copy of Annual Accounts
 - In case of salary income - Salary Slip, Copy of Form 16
 - Net worth certificate
 - Copy of demat account holding statement.
 - Bank account statement for last 6 months
 - Any other relevant documents substantiating ownership of assets.
 - Self declaration with relevant supporting documents.
 - * In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For Individuals**
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. **For Non-Individuals**
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

As prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/ contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/ notices issued there under from time to time.
 2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
 3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
 4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
 5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
 6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

CLIENT INFORMATION

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

TRANSACTIONS AND SETTLEMENTS

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

responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

and borne by the client.

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

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

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

LAW AND JURISDICTION

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

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

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

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

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

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

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

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

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

In considering whether to trade or authorize someone to trade for

you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility

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

1.2 Risk of Lower Liquidity

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

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

1.3 Risk of Wider Spreads

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

1.4 Risk-reducing orders

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain

amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

- 1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.
- 1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.
- 1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre -determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements

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

1.6 Risk of Rumors

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

1.7 System Risk

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

- 1.7.1 During periods of volatility, on account of market participants continuously modifying their order

quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

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

2.3 Risk of Option holders:

- 1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its

expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

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

2.4 Risks of Option Writers:

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

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

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

4. GENERAL

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

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

retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/ securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

1. Refusal of orders for penny stocks

4A SECURITIES LIMITED (the “stock broker”) allows their client to deal in various compulsorily dematerialized stocks listed on designated stock exchanges. However, stock broker may at anytime at its sole discretion prohibit or restrict the clients’ dealing or refuse completely/partially acceptance of the orders of the client for various reasons including but not limited to the trading in penny stocks. Penny stock shall include any illiquid stocks as declared by the stock exchanges and/ or illiquid options and/ or dealing in far months options and/ or highly speculative stocks and/ or stocks having low market capitalization and/ or securities which are not in dematerialized form and/ or securities which are restricted/ not permitted by the stock exchanges/SEBI/stock broker.

Stock broker, however, may allow solely on its own discretion, acceptance of orders of the client in penny stocks. Prior to acceptance of such orders, stock broker reserves the right to ask the client for compulsory settlement / pay full upfront margin/ delivery of securities for settlement. It is known that trading in penny stocks are highly risky and that any financial obligations/ losses thus aroused will be borne exclusively by the client alone. Stock broker shall not be liable for any losses caused due to any delay in execution of such orders or any other orders/ enhancement of the limit/ limitation on order quantity/ any unexpected technical fault in the trading system. By means of internal control, stock broker may restrict such orders on Internet Based Trading terminals facilitated to the client and/ or any dealer terminals operated at designated branches.

Client shall indemnify and keep indemnified the stock broker or its directors or its employees from and against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, proceedings or liability suffered or incurred or fastened due to any partial/complete refusal and/ or delay/failure in execution of the client orders in penny stocks, clients’ inability to use internet based trading terminals, limit enhancement and/ or by incomplete information provided by the client in relation to trade in penny stocks.

2. Setting up client’s exposure limits

Setting up the client’s exposure limit is subject to internal control mechanism of the stock broker where client is provided collectively a variable trading limit for placing the orders in various segments of exchanges. Normally the client exposure limit is calculated by adding the available ledger balance, cash equivalent collaterals and purchased securities in the margin account with applicable variable haircuts. The list of approved stocks for the purpose of margin consideration is provided to the client by the regulator/exchanges/stock broker from time to time. However, the stock broker can at its sole discretion vary the applicable haircut on the approved stocks

from time to time.

Client exposure limit vary as the margin components varies. However, stock broker can vary or reduce or impose the exposure limit at anytime without any prior notice to the client. Stock broker shall not be responsible for any such variation or reduction or imposition or the clients’ inability to route any order through the stock brokers’ trading system on account of any such variation or reduction or imposition of limits.

Other factors can also influence the set client exposure limit that may include but not limited to the market condition, SEBI and/ or exchange restrictions/limitations on either script-wise or stock broker-wide set limits. Exposure limits can also vary from client to client based variable factors such as financial status and/ or residential status and/ or risk tolerance of the client. RMS department of the stock broker shall assess and evaluate the risk involved in the transactions of each client on one to one and at any time on case to case basis. If the clients’ available margin diminishes, RMS may reset the limit immediately to manage the risk exposure while and in the open market. It is provided that client shall execute his/her trades within the set limit only. If the client wishes to increase the exposure limit, client shall deposit additional fund/margins in the designated form as stated above into the designated account.

Client exposure limit for intraday, carry forward and delivery based transactions may vary from each other. Within the set exposure limit for a client, allocation of the limit may vary based on clients’ transactions/position in various categories of stocks and/ or in derivatives (futures and options). Defining the categories of the stock is discretionary and shall be communicated to the client from time to time. Stock broker may at its sole discretion and without prior notice, prohibit or restrict the clients’ ability to place orders or trades in securities due to but not limited to the reason of lack of margin or the order being outside the limits set by stock broker/exchanges/ SEBI or any other reason which the stock broker may deem appropriate.

Setting up exposure limit doesn’t entitle any right to the client and that stock broker at any time without any notice withdraw the set exposure limit. Client shall indemnify and keep indemnified the stock broker against any loss/damage incurred due to such withdrawal of the exposure limit. Any loss thus occurred shall be borne by the client only and client shall clear all his/her/its outstanding debit balance along with any other applicable charges.

3. Applicable Brokerage Rates

The stock broker imposes the brokerage on the clients’ transactions in various segments as provided by the SEBI/ Exchanges/ any other competent authority from time to time. However, the maximum brokerage chargeable for each

transactions in the

- a. Cash/Capital Market segment shall be 2.5% of the transaction value excluding statutory levies.
- b. Futures contracts in derivative segment shall be 2.5% of the transaction value excluding statutory levies.
- c. Option contracts in derivative segment shall be 2.5% of the premium amount or Rs 100 whichever is higher.

4. Imposition of penalty/ delayed payment charges/ other charges

Clients are required to settle all their dues on time. If the client fails to settle the amount outstanding/overdue towards his/her trading or any other reasons, stock broker would impose penalty/delayed payment charges on the account(s) of the client, at such rates as may be determined by the stock broker from time to time.

In addition, it is provided that client shall pay to the stock broker the applicable brokerage charges, all statutory charges applied by exchanges due to clients' trading/dealing in securities, penalty on clients' material default in pay-in obligation or any penalty imposed on stock broker by exchanges/SEBI/any other competent authority in relation to clients' default/action/dealing/trading, any incidental charges such as postage, courier etc as they apply to the clients' account from time to time and any other charges/penalty as imposed to the clients' account by the stock broker due to the clients' non-performance/misrepresentation of any facts/evidence/commitment provided in any manner whatsoever or by any other reason as may be provided by the stock broker from time to time.

Clients shall abide by the Member Client Agreement executed with the stock broker. Stock broker at any time may impose penalty/fines on the client account if the clients' orders/trades/any action breaches the terms of this agreement. Also if the clients' any other action breaches any statutory laws/ rules/ Bylaws/ regulations of the exchanges/SEBI orders and/or circulars/orders of any other competent authority in force at time, stock broker may impose fines/penalties as it deem fit. However, due to the clients' action if the stock broker has been imposed any fine/penalty by any such authority the same shall be borne exclusively by the client.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payments of clients' dues

The stock broker shall have the right to sell client's securities purchased in the margin account and the securities lying in the clients' beneficiary owner account, or close out clients' positions without giving prior notice to the client to meet clients' pay-in obligation and/or delay or failure to meet the margin obligations towards his/her/its trading and/or any other reason as may be decided by the stock broker.

Client would be responsible to monitor its open position and review continuously the valuation of his/her/its position in the

open market. Client is aware that stock market is volatile in nature, at any time, if the clients' open position attracts the additional margin client shall immediate, whether or not communicated by any way or received any margin call, deposit in the designated account an additional fund/ approved securities in the form as may be decided by the stock broker. In case, if the client fails to provide the additional margin requirement, RMS can at its own risk perception at any time without any prior information to the client sell the clients' securities or close the clients' position at market rate/ price or at such rate as the stock broker deem fit. The losses/ deficit if any on account of such square off by the stock broker shall be borne exclusively by the client alone.

If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or stock broker level/ non release of margin by the stock broker or by any other reasons, the loss which may occur to the client as a consequences of such shortages in any manner such as on account of auctions/square off/closing outs or any other manners as the case may be, shall be solely to the account of the client. The stock broker shall not be responsible for the same in any form or manner whatsoever.

Client shall be responsible for the timely availability of funds/ securities in the designated form and manner at designated time and place in designated account, for meeting his/her/its pay-in obligation.

Margin thus provided in the form of funds/securities by the client to the stock broker are subject to the actual realization in the designated account of the stock broker. In any case if the provided fund instruments/instruction slips undergoes any clarification/verification than in such case client alone shall be responsible for any loss/ damage/ square off/auctions/ imposition of penalty or any other penalty as applied due to any delay/rejection of the instruments by the competent authority/banks/depository participants/SEBI/Exchanges/ stock broker.

Client is aware and understands that if the such selling of shares is not enough to recover the any dues/debit balance in the clients' account, Stock broker can legally send the notice to the client and ask to clear the outstanding balance to avoid any legal action by the competent court of law.

6. Shortage in obligations arising out of internal netting of trades

On the settlement day the clearing corporation(s) of the exchange(s) accepts pay-in of securities made by stock broker through depositories and identifies the shortages. Also stock broker on internal netting of the trades identifies the shortage

and mark to the respective defaulting client. In view of such instance stock broker may not deliver the securities or pay any amount of money to the client unless the same is received from the exchange/clearing corporation(s).

All short delivery of the securities are settled by buying-in auction at valuation price (price as determined by the exchanges) on the day after the pay-out day (T+3) from the normal market through the trading system of the exchanges. All shortages not bought-in are deemed closed out. All debits due to buying-in auction/close out shall be borne by the defaulting client alone. In the auction if the buy-in price is more than the valuation price, than the difference amount shall be borne by the seller client wherein if the buy-in price is less than the valuation price than the difference amount will be debited from the defaulting client on the sell side.

It is possible that buy-in on T+3 day in the normal market may not be possible due to any reason as may be the case, the defaulting seller client will be debited at close-out rate and the corresponding buyer client will be credited the amount. Close out will be at the highest price during T+3 days or 20% above the official closing price on the auction day, whichever is higher. For any other case, exchange settlement mechanism shall be applicable for the purpose and any financial obligation thus aroused shall be borne by the respective client alone.

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

The stock broker may not allow a client to take further position or may close the existing position of a client at any time without any prior notice to the client if they fail to meet the required margin in time. Stock broker may prohibit or restrict the clients' ability to place orders or trades in securities or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reasons of

- a. lack of margin
- b. securities or the order being for securities which are not in the permitted list of the stock broker/exchanges/SEBI
- c. the order being outside the limits set by the stock broker/exchanges/SEBI
- d. delay in meeting pay in obligation of funds/securities
- e. breach of member client agreement/ rules, Bylaws and regulations of the exchanges and/or SEBI
- f. non availability/disown/default in the committed fund instruments/securities instruction slips deposited/ provided for margin consideration
- g. non clearance of debit balance in the trading account accumulated over five (5) trading days
- h. client being squared off and have not provided fresh margin to place new orders
- i. fail to meet mark to market losses in his/her/its open

positions in various segments of exchanges

- j. breach of market wide and/or client-wise permitted position limit
- k. any other reasons as may be provided by the stock broker from time to time.

8. Temporary suspending or closing a client's account

Stock broker shall have right to suspend or close the client's account at its own discretion without any prior notice to the client if at any point of time the stock broker observe the followings.

- a. clients' breach of any of the terms of member client agreement/ rules, Bylaws and regulations of the exchanges and/or SEBI directives.
- b. clients' involvement in suspicious transactions, price manipulation of the securities, matching of trades and/or money laundering.
- c. client has not traded in his/her/its account for a significant period of time.
- d. clients' failure to complete the KYC due diligence.
- e. delivery failure of important communication from the stock broker such as contract notes, statement of account, statement of holding etc. sent to the client at its registered correspondence address, email id, mobile no. as per the record
- f. under any unpleasant event such as death/disablement as reported to the stock broker
- g. client restricted/ prohibited to deal in the securities by the SEBI/ Exchanges
- h. clients' inability to provide important financial/ non-financial documents / any such mandatory document as may be required by stock broker from time to time and/or as directed by the exchanges/SEBI to maintain such document in the records of the stock broker.

Client can also request to the stock broker at any time in writing with atleast 15 days in advance for temporary suspension/ closure of his/her/its account. After suspension of the account, client can't place any order/trade through the trading system of the stock broker. From the date of closure of the client account, stock broker shall be free from any/all liabilities/ obligations towards the client for any reason whatsoever and the client indemnify and keep indemnified the stock broker from any such liabilities/loss/damage/ suit/proceedings arising from or in respect of transactions entered into prior to such closure / suspension.

If the client wishes to reactivate his/her/its account requested temporarily to be suspended by the client, client shall fulfill the KYC norms of the stock broker and submit the necessary details to the stock broker.

After closing of the account and upon request of the client, all assets (funds/securities) will be returned, after the necessary adjustment/settlement of his/her/its dues if any, to his/her/its designated bank account/ depository as per the information

provided by the client to the stock broker.

9. Deregistering a client

Stock broker at its sole discretion at any time without any notice to the client terminate the member client agreement with immediate effect and deregister the client in any of the following circumstances:

- a. If the action of the client are prima facie illegal/improper or such as to suspicious transaction or manipulate the price of any securities or facilitating money laundering/terrorist financing or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- b. If the client is in breach of any of the term, condition or covenant of member client agreement or any other agreement executed with the stock broker or is in breach of any rules, Bylaws and regulations of the exchanges or SEBI directives or appears in the list SEBIs' debarred entity.
- c. If there is any commencement of a legal process against the client under any law in force
- d. On the death/lunacy or other disability of the client.
- e. If the client has been declared/filed its bankruptcy or insolvency
- f. If the client, him/her/itself admitted its inability to pay his/her/its dues towards his/her/its obligations.
- g. Before deregistering the client, stock broker shall have right to settle any dues/debit balance in the clients' account by selling the securities lying in the margin account and/or beneficiary account of the client.
- h. Either party can terminate the agreement between the parties upon written notice of atleast 30 days in advance.

Any such termination by either party or deregistration by the stock broker shall not affect any/all rights, obligations and liabilities of the parties arising out or in respect of the

transactions entered/executed into prior to termination/deregistration.

Client Acceptance and Acknowledgment:

I/we have fully read the clauses and contents of these policies and procedures of 4A SECURITIES LIMITED and do here by acknowledge the same and give my/our clear consent to you not to question the validity, enforceability and applicability of any provisions of this policy and procedure document under any circumstances whatsoever.

I/we understand and acknowledge that these policies and procedures are subject to change/amend and thus any change(s)/ amendment(s) shall be incorporated in the document and placed/ updated on the website www.4asecurities.com from time to time by the stock broker.

I/we here by acknowledge and confirm my/our unconditional acceptance to follow these policies and procedures, any subsequent amendments made there to and the member client agreement and any other agreement(s) executed between the parties.

I/we acknowledge that a copy of this document is available on the website www.4asecurities.com and I/we are referred to the website contents and update regularly myself/ourselves for any amendment made to this document from time to time.

I/we acknowledge that in case of any dispute/ grievance arising in dealing between me/us and the stock broker, this policy and procedure document shall be referred compulsorily before any legal suit/ court proceeding/arbitration or to any other adjudicating authority.

I/we also acknowledge that the copy of this document shall be made available to me/us on my/our request to the info@4asecurities.com or on a telephonic request to the Help Desk at +91-11-49002200.

BROKERAGE SLAB

	SLAB %	NORMAL SLAB
INTRADAY		
DELIVERY		
FUTURES		
CURRENCY		
OPTIONS F&O		
OPTIONS CURRENCY		

Note :

- 1. The above charges are exclusive of service tax, security transaction tax and other transaction charges.
- 2. All customers will get digital contract notes. Physical contract notes provided on request which would entail a nominal charges.

Branch Head/Manager Name :

Branch Head/Manager Sign :

Client Signature 15

NON MANDATORY DOCUMENTS



4A

together we make it big!

1. The Client further accepts and acknowledges that he would observe proper caution and due diligence while giving orders to the dealers / entering orders into trading platform provided by 4A. The client further agrees that he would not indulge in any trading activity resulting in the disturbance of the market equilibrium including manipulation of the price of any scrips / Other Terms & Conditions, synchronized deals with any person or any kind of orders / trades which may be considered as inappropriate/ unacceptable by 4A/the relevant exchange(s)/ regulator(s). The Client acknowledges that 4A reserves the right to keep in abeyance the funds / securities as may be deemed fit by 4A depending upon the gravity of the violation or/and through trades done by/on behalf of the Client considered as inappropriate / unacceptable by 4A / the relevant exchange(s) / regulator(s). The client further understands and accepts that 4A also reserves the right to levy any penalty for such trades done by / on behalf of the Client considered as inappropriate / unacceptable by 4A / the relevant exchange(s) / regulator(s), as may be deemed fit by 4A / the relevant exchange(s) / regulator(s).
2. If the Client is enabled to access the trading system of 4A directly say through internet then Client is authorized to place orders directly as well. The Client agrees that any communication of orders in any form or manner whatsoever to 4A or by entering orders into a facility provided by 4A such as internet etc. neither implies order's(s)' acceptance nor assures a trade from such order(s) and the Client is also aware that any deliveries of securities / payout of monies on account of trades is subject to settlement process being successful particularly for trades which are matched within the clients of 4A and the Client hereby agrees not to hold 4A responsible in any manner whatsoever for any delay in settlement which are beyond reasonable control of 4A.
3. The Client agrees and acknowledges that 4A shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment and as such all investment and disinvestment decisions are based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available by 4A including that on the website/trading platform/ through SMS etc. The Client will not hold nor seek to hold 4A or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses or other losses, costs or damage incurred by the Client consequent upon relying on information, research opinions or advice or any other information whatsoever including that on the website whether put up by 4A or any other agency. The 4A does not represent and shall not be deemed to have represented, that the investment information is accurate or complete. The Client is aware that any information based on the research of 4A or other external sources is merely an estimation of the viability or otherwise of certain investments, and 4A shall not be deemed to have assumed any responsibility for such information. The Client should seek independent professional advice regarding the suitability of any investment decision. The Client also acknowledges that 4A's employees/ agents are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from 4A or any of its employees / agents.
4. The Client agrees and acknowledges that trading over telecom networks involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions, malfunctioning and dislocations etc. 4A does not make any representation or warranty about uninterrupted trading facility and as such, under no circumstances shall 4A or anyone involved in creating, producing, delivering or managing 4A's services be liable for any direct, incidental, special or consequential damages that may result from the use of or inability to use the service, delay in transmission of any communication, in any case for any reason whatsoever (including on account of breakdown in systems) or due to any fraud committed by any person whether in the employment of 4A or otherwise.
5. The Client agrees that 4A does not guarantee and shall not be deemed to have guaranteed the timeliness, sequence, accuracy, completeness, reliability or content of the market information or messages disseminated to the Client. The 4A shall not be liable for any inaccuracy, error or delay in, or omissions of any such data, information or messages, due either to any act or omission by 4A or to any "force majeure" event (e.g. Flood, extraordinary weather condition, earthquake or any other act of god, fire, war, insurrection, riot, labour dispute, accident, action of government, communication, power failure, shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction); any fraud committed by any person whether in the employment of 4A or otherwise or any other cause which is beyond the reasonable control of 4A.
6. The Client hereby authorizes 4A to take all such steps on the Client's behalf as may be required or advisable in 4A's opinion for compliance with the exchange provisions or any other law or provisions or to complete or settle any transactions entered into through or with 4A or executed by 4A on behalf of the Client. However, nothing contained herein shall oblige 4A to

take such steps.

7. The 4A / service provider may require the Client to use such security measures as deemed fit including but not limited to security codes / passwords / customer user identification number / telephone personal identification number (t-pin) / digital signatures / smart cards etc. hereinafter collectively referred to as “security protocols”, before accepting any orders & / or for permitting access to the systems / services / facilities made available by 4A / service provider. The Client agrees to change, wherever possible, such “security protocols” immediately on their receipt and periodically thereafter also. It shall be the responsibility of the Client using any online trading platform provided by 4A to completely log out rather than close/exit the browser/trading application window, 4A shall not be responsible or liable for any unauthorized trade and/or leakage/hacking of the Client’s personal details and/or financial information available on the trading platform should the Client be negligent in adhering to the same. The Client agrees, accepts and undertakes the sole responsibility for the usage, confidentiality, protection and secrecy of all such “security protocols”. The Client unconditionally agrees that he / she / it shall be solely responsible for any / all uses of “security protocols” whether for accessing data / information or for giving orders / dealings. The Client agrees to bear any losses / damages which may be caused by any use of or non use of “security protocols” and it shall be no defence that such access to data / information & / or the orders / deals were made through unauthorized use of “security protocols” by any person by whatever means including hacking, theft, forgery / electronic forgery or any other mode or manner. Notwithstanding anything stated hereinabove, on coming to know of any unauthorized access / use of any “security protocols”, it shall be the duty of the Client to take all necessary steps including but not limited to informing 4A in writing with full details of the same and ensuring that such breach, loss of passwords / security protocols and / or confidentiality are immediately stopped. 4A reserves right to suspend the client account/reject the orders in case of any misuse identified / wrong credential provided / any doubt on the person / manner providing the orders for and on behalf of client in the interest of safeguarding client’s monies and avoid frauds.
8. “The Client” hereby agrees to use the facilities, data and information which is provided by “the Stock Broker” or which may become available to the Client as a result of client’s relationship with “the Stock Broker” purely for the purposes permitted by “the Stock Broker” and only for the personal use and agrees never to disseminate any information or data for any reason or purposes whatsoever except under a written authority signed by a director of “the Stock Broker” It is agreed by Client that all intellectual properties (IP) in any such information / data shall remain with “the Stock Broker” and / or stock exchange and /or relevant service / information provider and Client shall not remove any IP markers etc. from any documents/ information received.
9. The Client hereby agrees that 4A may communicate/ send information to the Client like order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements, trading / settlement cycles, delivery / payment schedules, policies, procedures, notices, frequently asked questions (FAQs) and any other documents / reports, using any or more of the following means or methods such as post / speed post / courier / registered post / registered post acknowledgement due / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the Client’s computer; by informing the Client through employees / agents of 4A, by publishing / displaying it on the website of 4A / making it available as a download from the website of 4A; by displaying it on the notice board of the branch / office through which the Client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The Client agrees that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be the agent of the Client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail /voice mail service provider/SMS, etc. by 4A and the Client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever.
10. Client understands that for performing the acts contemplated under this relationship/ “Other Terms & Conditions” 4A has to use softwares and hardwares/machines etc. Client understand that as regards trading the softwares/programmes of stock exchanges are used with additional softwares permitted by stock exchanges such as (without limitation and as illustration) ODIN DIET Client, Net.Net, NOW Online, FASSTRADE, etc. While stock exchanges take all care have fullproof softwares/ programmes and additional softwares/programmes such as ODIN DIET Client, Net.Net, NOW Online, FASSTRADE, etc. are pre-approved by stock exchanges no warranty /guarantee is taken either by the vendors/suppliers of any these softwares/ programmes of their fullproof/glitch/bug free performance always. Their operations can also be effected due to software viruses etc. which may interalia lead to disruption in trading / order entry and/or false/incorrect display of order/trade status including but not limited to display of trade confirmation etc. when actually trade has not occurred or has occurred contrary to display. Therefore Client shall be duty bound to act with all

reasonable caution and not to trade where there are reasonable grounds to believe that the trading system is not operating normally including situations where usual limits applicable as per the margin availability / quantity limits on order are either not operational or are out of sync with clients own margin and quantity limits. Any acts against the covenant by client shall make client liable for criminal prosecution apart from claims of damages and other losses by "the Stock Broker" and / or the insurer of "the Stock Broker". Further, "the Stock Broker" is authorized but not obliged to have system / software/ human controls to ensure Client Trades / places orders with adequate margin, however the responsibility to trade / place orders within bound of margin limits shall always be of " the Client" and it shall be open to Client to trade / place orders within bounds of margin limits shall always be of "the Client" and it shall not be open to Client to trade/ place orders where it is reasonably clear that the restrictions if any by "the Stock Broker". Are not active / or are malfunctioning. Where Client does trade in contravention of this covenant Client shall be liable for criminal prosecution apart from the claims of damages and other losses by the "Stock Broker" and / or the insurer of "the Stock Broker". Given aforementioned possibilities of system / software/ human errors the Client agrees that display or printout of any transactions taken out from any system / computer at the time of order entry or instructions entry or thereafter, including but not limited to net banking and/or electronic transfer of securities in depository etc., shall not be construed as the official record of the transactions/orders. 4A's or service providers' (such as bank's/stock exchanges/clearing house/clearing corporation/ depository participant/depository) final official record of transaction maintained in their own books of accounts or electronic systems shall only be the acceptable records and shall be conclusive and binding for all purposes (such as clearing file of stock exchanges etc.). The Client agrees that this is without prejudice to the right of 4A/service provider to rectify any discrepancy / differences which is due to any inadvertent human error/ system/ computer error etc., at any time without limitation, at the sole and absolute discretion of 4A and / or any of the service providers.

11. The Client agrees to use, such facilities/arrangement with banks /depository participants for making or receiving payment of funds/monies and/or securities, as may be prescribed by 4A in its absolutely discretion including but not limited to online or offline facilities of one or more banks or depositories and Client hereby agrees not to hold 4A responsible for any losses or damage which may be suffered by the Client by use of any such prescribed facilities.
12. The Client agrees that 4A or any service provider such as banks etc., may from time to time prescribe particular softwares (including but not limited to browsers, operating systems, TCP/ IP protocols etc.) / devices / equipments etc. and the Client agrees that such softwares / devices /equipments may need

to be changed / upgraded to newer versions and this may require the Client to suitably reinstall/ uninstall/ upgrade the said facilities / device / equipments etc. at its end. Such changes may involve disruption in trading / communication of orders and may even lead to losses and the Client hereby unconditionally and absolutely agrees not to hold 4A or service providers or depositories responsible on any account. All costs / charges /levies and fees incurred by the Client for the said services shall be borne exclusively by the Client alone.

13. The Client hereby authorizes 4A in its absolute discretion to maintain records / books of accounts for the Client separately or collectively for different exchanges / segments of the exchanges & / or any other service which the Client may be availing such as Depository Services etc. It shall be the sole responsibility of the Client to ascertain the balance of securities & /or funds in all the accounts separately and the Client shall be required to pay / make available necessary monies / funds and / or securities into anyone or more such segregated / aggregated account(s) notwithstanding the fact that an aggregation of the accounts may not require from the Client either any securities and / or monies / funds and the Client hereby agrees not to hold 4A responsible for considering shortage of margin / security & / or shortage of pay in obligations in any account, without aggregating / summing such account with other accounts.
14. Client agrees that any loss due to any erroneous order entry / erroneous order modification shall be entertained by 4A only to the extent of insurance claim received.
15. The Client hereby agrees to use the facilities, data and information which is provided by 4A or which may become available to the Client as a result of Client's relationship with 4A purely for purposes permitted by 4A and only for personal use and agrees never to disseminate any information or data for any reason or purposes whatsoever except under a written authority signed by a director of 4A.
16. The Client hereby agrees and declares that he / she / it has fully assessed and accepted the risks involved in using the services/ facilities including but not limited to internet based services such as but not limited to misuse of passwords, internet frauds, technology risks etc., and agrees not to hold 4A and any / all service providers responsible for any damages, losses or negative consequences which Client may suffer in any manner whatsoever.
17. Client agrees to 4A tape-recording the conversations between Client / Client's representative and 4A's officers/ employees/ agents etc. in its absolute discretion, either personally or over the telephone. Such recordings may be relied upon by 4A as and when required, and the Client agrees not to challenge the evidentiary value of such recordings.
18. Client wants to make investments in mutual funds, initial public

- offerings/follow on public offerings, rights issue, fixed deposit(s) etc. and generally to invest in various avenues / products and to redeem/liquidate any investments and wants 4A to give effect to desires/ requirements of Client by giving orders/ instructions (electronic/ physical/verbal) for the same and to sign any documents and / or do any and all act(s) as may be required or are deemed necessary in opinion of 4A for these purposes from time to time. In view of the foregoing Client authorizes "the Stock Broker" to share Client's personal and other information with other parties including "the Stock Broker"'s group / related entities so as to receive offers and information on various product / services etc. and agrees that any offers / information received shall not be contested on grounds of addresses / phone included in national do not call registry or any other such restrictive regulations/laws.
19. In case Client has made any purchase of securities and the delivery of the same falls short inter-Client at the broker level, Client hereby authorize 4A to make purchases of the same in the market to make available the delivery of the said securities to Client.
 20. In case Client has made any sale of securities and due to any exigencies Client is unable to make available the delivery of the same in the designated account within the designated time and it is an inter Client delivery at broker level, Client hereby authorizes 4A to make purchases of the same in the market on Client's behalf to make available the delivery of the said securities to the opposite party.
 21. Client hereby authorizes 4A to debit Client's account with depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement professional charges (for as may be applicable to NRIs), research service/ message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments, etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.
 22. The Client" hereby authorizes "the Stock Broker" to maintain books of accounts on combined ledger principle i.e. to say collectively for all segments of all exchanges and any other exchanges and any other segment or service for which "the Client" has an arrangement to deal through / with "the Stock Broker". However, "the Stock Broker" shall be within its rights to demand sums due separately for any specific agreement and / or exchange if it so deems fit in its absolute discretion.
 23. Client agrees that "the Stock Broker" shall be entitled to further pledge and / or deposit shares / stocks (securities)/ funds(monies)and any other collateral such as fixed deposit receipts / gold / real estate etc. of "the Client" which may be available to "the Stock Broker" Inter-alia on account of the same having been deposited by the Client as collateral / margin and / or lying with "the Stock Broker" on account of maintenance of running account for "the Client". Such Pledge / deposit may me made by "the Stock Broker" from time to time with any exchange(s)/ clearing corporation / clearing house/ any other person in its absolute discretion and " the Stock Broker" may raise funds / obtain bank guarantees / fixed deposits receipts against such stocks/shares(securities) from time to time.
 24. Client has/ may have accounts with anyone or more companies which are part of the group to which 4A belongs (hereinafter referred to as "4A Group"). Client understands that from time to time there may be situations where on one hand he has credit balance with one or more companies of 4A Group and on the other hand debit balance with one or more companies of 4A Group. Given the structure of banking system delays are likely if funds are taken by Client from one or more 4A Group companies by cheque/ demand draft and paid to one or more 4A Group companies by cheque/demand draft. Therefore Client desires and directs 4A to net off/ adjust Client's credit and / or debit balance with 4A with any other 4A Group company by way of appropriate accounting entry(ies).
 25. Client hereby authorizes 4A to set-off / appropriate / adjust a part or whole of the monies / credit balances in ledger and / or securities (shares/stocks etc) and / or Margin lying as credit / debit in Client's account against any dues / debit balances in ledger including but not limited to dues by way of shortfall in Margin, in any of Client's Family members' and / or any of Client's Group / Associate companies'/ firms'/ entities' accounts. The words / expressions "Client", "Margin", "Family" as used herein, shall, unless repugnant to the context, have the meaning as assigned hereunder:-
 - (a) Client - shall mean and include where context so requires non-natural person(s) / entity(ies) such as companies, firms, association of persons and trusts etc.
 - (b) Margin - without limiting the meaning and scope of word "Margin" it shall include all monies and / or securities (shares and stocks etc.) and / or any other movable and immovable property which may serve as collateral/ security for dealing(s) in shares/ stocks/ futures & options Other Terms & Conditions / other type of derivative Other Terms & Conditions including currency derivatives.
 - (c) Family - without limiting the meaning and scope of word 'Family', it shall mean and include the spouse, all ascendants, descendants, brothers and sisters of Client (constituent) and all members of Client's (constituent)'s Hindu Undivided Family (HUF), all dependents of Client (constituent) and their spouse and children and such other

persons who live in the same household/ residential address as that of Client (constituent).

- (d) Group / Associate companies/ firms/ entities- without limiting the meaning and scope of words “Group/ Associate companies /firms/ entities” / these shall mean and include all such companies/ firms/ entities which are either Controlled by / or Control the Client and shall include all companies/ firms/ entities which are under common Control as that of the Client including those which control/ are controlled by spouse of the Client.
- (e) Control- without limiting the meaning and scope of word ‘Control’ it shall include the meaning given to it under the Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 1997, as amended and in force.
26. In connection with this “Other Terms & Conditions”, as well as all transactions contemplated under this “Other Terms & Conditions” as offered by 4A from time to time, the Client agrees to execute and deliver documents titled “authorisations” and to perform such additional actions which may be necessary, appropriate or requested to carry out or evidence the transactions in respect of the services availed by the Client from time to time. All the terms of this “Other Terms & Conditions” shall be read as part and parcel of authorisations.
27. The Client hereby declares that all information which have been provided, are being provided and which shall be provided by the Client to 4A or any service provider under this “Other Terms & Conditions” or in relation thereof or as consequences thereof is and shall always be true to the best of information and knowledge of the Client.
28. The Client expressly agrees that his /her/ its utilization of a service / facility such as but not limited to advisory services, any other activity for and on the behalf of the Client or any other transaction which 4A undertakes with or for the Client, shall also be covered by the terms & conditions of this “Other Terms & Conditions”.
29. The Client agrees that all monies, securities or other property which 4A may hold on Client’s account shall be held subject to a general lien for the discharge of Client’s obligations to 4A. Client further agrees neither to close bank and depository accounts nor to mark any lien / pledge on the securities and / or monies lying in such accounts which are linked to his trading account such time that is account is fully settled with “the Stock Exchange” for all the obligations.
30. “The Client” also acknowledges that “the Stock Brokers” employees / agents (whether dealer, relationship manger, sub broker or authorized person) are not authorized to accepts any cash from any person and if client provides cash to any person then in that event “the Stock Broker” shall in no way be responsible and the relationship of Client with any such person including with my dealer, relationship manager, sub-broker or authorized person shall be a personal, mutual and private relationship between “the Client” and such person(S) and Client shall have no recourse/ right against “the Stock Broker”. “The Client” acknowledges that all the payments to “the Stock Broker” shall be made by “the Client” through cheques / Demand Draft or any other instrument drawn in favor of “the Stock Broker”. “The Client” also understands that while making payments through Demand Drafts “the Client” the client ids bound to declare in writing to “the Stock Broker” the source of such demand draft and “the Client’ will always make true and correct declaration. “The Client”, without prejudice to the legal rights available to “the Stock Broker”, also indemnifies “the Stock Broker” from any third party claim which may arise on account on payment made by “the Client” through such Demand Draft / Cheque to “Stock Broker”.
31. “The Client” agrees and accepts that he shall never leave / entrust bank Delivery Instruction Slip (also known as DIS) pertaining to his depository account to any employee / agent (including sub-broker/ authorized person) of the “Stock Broker”, the same shall be un equivocally a personal , private arrangement between such person and “the Client” and “ the Stock Broker”, shall have no liability towards “the Client” for outcome including losses, if any on account of such entrustment / leaving of bank Delivery Instructions Slips (also known as DIS) by “ the Client” in contravention of this explicit written term between “the Stock Broker’ and ‘the Client”.
32. “The Stock Broker” sends through post, courier, government post, disseminates through web site the pay-in / pay out and other obligations relating to Client trading and other relevant information. “The Client” agrees that it is his /her / its responsibility to review any / all information communicated including but not limited to order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements etc. communicated to “the Client” by any of the aforesaid means or mode whatsoever, immediately on their receipt and take necessary action. If “the Client” does not revert with objections within 48 hours of issuance of information to him, the same shall be deemed accepted by “the Client”. Client further agrees that due to above regular dissemination / dispatch of information the Client shall be knowing the quantum of funds / securities etc. which should be received by him in regular course of trading etc. Therefore where Client comes in possession of assets of “the Stock Broker” (including those of any third party such as bank / other clients) which do not appear to belong to him, (whether due to system, software / hardware and / or human failure / fraudulent acts) the same shall be held by “the Client” in trust and returned suomoto to “the Stock Broker”. Any actions by Client in contravention of this covenant shall make Client liable for criminal prosecution

apart from Claims for damages and other losses by “the Stock Broker” and / or the insurer of “the Stock Broker” and / or third parties affected by acts of “the Client”.

33. The Client hereby agrees that it is the sole responsibility of the Client to know the status/ declaration of all corporate benefits including but not limited to Rights Issue, Bonus Issue, Dividends and Stock Split of Shares/ Buy Back, etc, announced by Issuer Company from time to time, for securities of company(ies) in which Client intends to trade and/ or those which are kept by Client with 4A for ease of dealing/ margin/ collateral security etc. and make appropriate trading/dealing decisions by appropriately considering the impact of any corporate action(s). 4A is not required to act as an advisor to Client in any of these matters/ aspects. It is the Client's sole responsibility to track announcements of such corporate benefits 4A shall not be liable for any losses suffered by Client, if Client fails to apply to such corporate benefits for the shares held by 4A in beneficiary account on behalf of Client. Client may be keeping securities with 4A for ease of payment for ease of dealing / consideration as margin / security / collateral etc. Client understands that some corporate benefits will be passed onto the relevant account of 4A by issuer company(ies). It is understood and agreed that these corporate benefits will continue to remain with 4A unless a request (to be binding upon 4A only if evidenced by a photocopy/carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) is made by Client for transfer the same to Client's own account. The transfer by 4A shall not be immediate but take reasonable time, subject to there being no pay - in obligations/ margin obligations/collateral obligations needed to be fulfilled by corporate benefits received.

Further, where Client is keeping securities with 4A for ease of dealing for consideration as margin/security/collateral etc., Client understands that some corporate benefits will require some action for obtaining the same, such as for rights issue etc. It is understood and agreed that Client shall free the securities from any margin/collateral/security/ pay -in obligations and get them moved through request (to be binding upon 4A only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) given well in advance to Client's own beneficiary account and take necessary action for applying and/or receiving corporate benefits. In exceptional circumstances 4A may upon request (to be binding upon 4A only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) given well in advance take actions for and on behalf of Client to / apply and / or receive such corporate benefits such as for Right Issue/Open Offer/Buy Back for the shares held by 4A on behalf of client (subject to Client making available free funds etc. for the same well in advance).

However 4A shall not be liable for any loss/claim whatsoever in the event such application is rejected by Registrar /Company /Manager to the Issue for any reason.

34. The Client agrees that this Other Terms & Conditions and agreements etc. preceding or succeeding it are non-assignable without prior written approval of “the Stock Broker”.
35. This Other Terms & Conditions and any preceding and / or succeeding agreements / documents shall not be affected by Client's death, dissolution and/or winding-up and its / his / her their estate, effects heirs, executors, administrators and legal representatives will continue to be liable for full payment of all the moneys payable and/or due to “the Stock Broker”.
36. “The Stock Broker” may grant / transfer to any person / blank financial institution, for any purpose whatsoever, any of its rights under this “Other Terms & Conditions” or under any preceding or succeeding agreements/writings etc. including the right to any aOther Terms & Conditionsnts receivable by “the Stock Broker” or any other rights and may grant/ transfer such rights by way of sale or as a charge or as a security and any person to whom such rights are granted / transferred shall be entitled to the full benefit of such rights

37. EVENTS OF DEFAULT AND TERMINATION

Each of the following events is, and shall be deemed to constitute, an “Event of Default”.

- a. If “the Client” defaults in the payment of any obligations as and when they become payable;
- b. If “the Client” does not maintain the Margin at the prescribed levels;
- c. If “the Client” has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- d. If “the Client” has voluntarily or compulsorily become the subject of proceeding under any bankruptcy or insolvency law or being a company, goes into liquidation or has receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- e. If “the Client” being a partnership firm, has any steps taken for dissolution of the partnership;
- f. On the death/lunacy or other disability of “the Client”.
- g. If there is reasonable apprehension that “the Client” is unable to pay its debts or “the Client” has admitted its inability to pay its dues, as they become payable;
- h. If “the Client” suffers any adverse material change in his/ her/its financial position or defaults in any other agreement with the “the Stock Broker”;
- i. If there is any commencement of a legal process against “the Client” under any law in force;

- j. If “the Client” has taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
 - k. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of “the Client”;
 - l. If “the Client” is in breach of any term, condition or covenant of this Other Terms & Conditions or any preceding or succeeding agreements with Stock Broker;
 - m. If any covenant or warranty of “the Client” is incorrect or untrue in any material respect;
 - n. If “the Client” creates any encumbrance over the securities placed as margin, or otherwise takes any action towards creation of such encumbrance over the securities placed as margin;
 - o. If the title of “the Client” to the securities placed as margin is in jeopardy or if there is an attachment or lien against the securities placed as margin;
 - p. If the Client acts /or desists from acting in any manner which will jeopardize the securities placed as margin or the powers vested in “the Stock Brokers” under the Power of Attorney from being exercised by “the Stock Broker” (acting through its authorized representative);
 - q. There exists any other circumstance, which in the sole opinion of “the Client” is prejudicial in the interest of “the Client”; and
 - r. If an event of default has occurred under any other agreement entered into by “the Client”.
 - s. If the action of “the Client” are prima facie illegal/improper (without limitations misbehavior, threat to person / property of stock broker or its employees, entry in to stock brokers premises in intoxicated state) such as to manipulate the price of any securities or disturb the normal, proper functioning of market, either alone or in conjunction with others.
 - t. If, in the opinion of “the Stock Broker “the Client” has committed assisted, abetted crime / fraud or/ is likely to evade/ violate or assist or abet violation/ evasion of any laws, rules, regulations, directions of a lawful authority whether Indian or foreign if “the Stock Broker” so apprehends.
 - u. If any Event of Default has occurred or is continuing, “the Stock Broker” shall have the right to suspend or terminate the Other Terms & Conditions and all other preceding and succeeding agreement with “the Client” without notice during suspension all trading and other services to Client shall remain suspended.
38. The Client agrees that the failure of 4A to enforce at any time any terms contained in this “Other Terms & Conditions” shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
39. Except where the bye-laws provide otherwise, the Parties agree to exclusive jurisdiction of courts of law at Faridabad.
40. If any provisions of this “Other Terms & Conditions” are held invalid or unenforceable by reason of any law, rule, administrative order or judicial decision by any court, or regulatory or self regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms shall not be affected thereby and these terms shall be carried out as if any such invalid / unenforceable provisions or terms were not contained herein.

In witness thereof the parties to the agreement have caused these presents to all of the day & your first above written.

Client-Name and Signature

Name

Signature 7

Stock Broker’s Signature / Authorised Signatory

Name

Signature

Seal

Please go through the terms & conditions of agreement & risk disclosure document carefully before signing

Witness-Name and Signature

Name

Address

Contact No.

Signature

Date :

Witness-Name and Signature

Name

Address

Contact No.

Signature

Date :

Date:/...../20.....

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com

Member: NSE Capital, F&O and Currency Derivative

SEBI Regn. No. INB231456030, INF231456030, INE231456030

Member: BSE Capital and Derivatives

SEBI Regn. No. INB011456036, INF011456036

Sub: Letter of Authority

Dear Sir,

I/We in relation to my/our dealing with you in the securities market of Bombay Stock Exchange Limited and/or National Stock Exchange of India Limited in Capital Market, F&O, Mutual Fund and Currency Derivatives segment of the exchanges(s), in order to facilitate smooth operation of the account, I/We hereby undertake and authorize 4A SECURITIES LIMITED ("Trading Member") as hereunder:

1. I/We authorize the trading member to set off all my/our outstanding debit balance in any of my/our account against my/our any cash collateral, fixed deposit, any other cash equivalent collateral, securities pledged with the trading member.
2. I/We hereby authorize the trading member to keep my/our securities, purchased in my/our account and/or transferred to my/our account from other depository participant account, in their margin account to use my/our securities:
 - a. for the purpose clearing and settlement of my/our net obligation towards all segments and exchanges
 - b. to provide exposure limits on my/our securities held as collateral in the margin account
 - c. to pledge in favor of bank and/or taking loan against the securities to meet margin/pay-in obligation on behalf of trading member or for giving the same as margin to the stock exchange(s) as whatever the case may be.
 - d. to retain the requisite securities/funds towards any outstanding obligations and/or retain the funds expected to be required to meet margin obligations for next 5 trading days, as calculated in the manner specified by the exchanges. I/we also undertake that release/payout of stock to me/us shall be subject to the Internal policy of the trading member.
 - e. at its own discretion and without any intimation, sell my/our shares/holding from my/our account at any time to settle any/all outstanding debit balance in my account. I/we also authorize the stock broker to settle any accumulated margin obligations in my/our account and if the selling of shares/holding is insufficient to settle the outstanding debit balance than the trading member shall ask and I/we am/are obliged to deposit the balance amount in my/our account to avoid any delayed/late payment charges.
3. I/we wish to settle my account (funds and securities) once in a month / once in a quarter (tick any one).

I/we also authorize the trading member to send electronically the 'statement of account' for funds and securities for the given settlement period on my registered email id and/or on my internet based trading terminal. I/we undertake to keep the trading member update as and when there is change in the email id and/or any other contact details.

4. I/we undertake to bring any dispute arising from statement of account or settlement so made to the notice of the trading member within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. Further and if not the same shall be deemed to be settled and that trading member shall have no obligation towards me/us.
5. I/We authorize the trading member to consider my/our telephonic instructions for order placement/ modification/cancellation as a written instruction and provide me/us all trade confirmations call, margin call, square off call, any intimation and information calls on my/our contact number provided to you until such time when instructed otherwise in writing to the trading member. I/We will refer my/our self for any query in relation to my transactions to the contract notes issued to me/us.

6. I/We authorize the trading member not to send us order confirmation/modification/cancellation slips and trade confirmation slips to avoid unnecessary paper work. I/We affirm that as and when required, I/We will collect the contract notes in duplicate, bills, statement of account, holding statement, transaction statement etc. as per my/our own convenience from Head Office by an email request.
7. Trading of NSE/BSE is in electronic Mode, based on V-sat, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full.
8. I/We hereby confirm that no action has been taken by SEBI or other any other competent authorities against me/us during last 3 years. I/We shall inform the trading member as and when any such action is taken against me/us and shall be responsible for any false declaration provided to the trading member by me/us in this relation.
9. I/We undertake and confirm that my/our account shall be inactive if I/We do not trade in my/our account during a significant time period as may be decided by the company and the reactivation of the inactive account shall be subject to the KYC provisions of the trading member as may be provided from time to time.
10. I/We understand that only documents watermarked as mandatory are mandatory. Any other clauses or documents executed along with the mandatory document in account opening form are non-mandatory. I/We need not execute such non-mandatory documents if I/We do not wish to use the trading facility through 4A SECURITIES LIMITED
11. I/We hereby agree to provide a written request to you for a copy of account opening form, Policies and Procedures and any other document executed by me/us with 4A SECURITIES LIMITED
12. I/We understand that I/We may revoke such authorisation given above any point of time by giving prior intimation to M/s. 4A SECURITIES LIMITED

Yours faithfully,

Client Name :

Client Code :

9

(Client Signature with rubber Stamp)

To,
4A SECURITIES LIMITED

Client Code :

1. WHEREAS the Hindu Undivided Family of..... (hereinafter referred to as 'the said joint family' carrying on business in the name and style ofat or elsewhere (hereinafter to as 'the said HUF), have or desire to have Share Trading A/C with 4A SECURITIES LIMITED (hereinafter referred to as "Member") we, the undesigned, hereby declare
 - a. that we are the present adult co-parceners of the said joint family;
 - b. that Sh.....is the present Karta or Manager of the said Joint Family
 - c. that we are entitled to trade in shares and open Share Trading Account of the said Joint Family.
 - d. that reach one of us has full and unrestricted authority to act on behalf and bind, the said HUF and all the present as well as future members, both adult and minors, of the said joint family, howsoever constituted from time to time.
2. We confirm that the affairs of the said joint family and the business of the said HUF are carried on mainly by the Karta/Manager, the said Sh.....on behalf and in the interest and for the benefit of all co-parceners of the said joint family. We hereby authorize the Karta/Manager Sh.....on behalf of the HUF to deal on Capital Market segment (CM). Futures and Options segment (F&O) or any other segment that may be introduced by NSE in Future and the said Trading Member is hereby authorized to honor all instructions oral or written given by him on behalf of the HUF.
 Mr.....is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through 4A SECURITIES LIMITED on behalf of the HUF..... He is also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writing and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF to the Member and agree and confirm that any claim due to the Member from the HUF shall be recoverable from the assets of anyone or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.
3. We undertake to advise the Member in writing of any change that may occur in the Kartaship/Membership of in the constitution of the said joint family or of the said HUF and until receipt of such notice by the Member, the Member will be entitled to regard each of us a member of the said joint family and as a partner of the said HUF and all acts, dealings and transactions purporting to have been done on behalf of the said joining family or of the said HUF before the Member shall have received notice in the manner aforesaid, shall be binding on the said joint family and the said HUF and on our respective estates. We shall, however continue to be liable jointly and severally to the Member for all dues and obligations of the said HUF in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.
4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no.....with Depository.....opened in name of Sh.....who is the Karta/Manager of this HUF.
5. I agree that obligations for share purchase and/m sale by the HUF will be handled and completed through transfers to/from the above mentioned account / recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the HUF.
6. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you

◆ SIGN of Karta

in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind, the said HUF.

Name of the Minor	Father's Name	Date of Birth
.....	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
.....	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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.....	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

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

Yours faithfully

Name	Date of Birth
.....	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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.....	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

(Full personal signatures all major co-parceners)

Date:

✦ SIGN of Karta

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

ACKNOWLEDGEMENT

I/we have received full copy of this booklet including (KYC, RDD, INVESTOR' RIGHTS & OBLIGATIONS, POLICIES & PROCEDURE etc.) executed by me/us.

Signature : ¹⁰

Name of Client :

Date :

AUTHORISATION LETTER FOR ELECTRONIC COMMUNICATION

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com

SUB : COMMUNICATION IN ELECTRONIC FORM

Dear Sir,

I/We understand that, I/We have option to receive all communications in physical or in electronic form. Pursuant to the same, I/We hereby opt to receive electronic form of the communication on my provided Email ID. I/we undertake and authorize Trading Member to send Electronic Contract Notes ("ECN"), Ledger/Financial Statement, Transactions Statement (Trading and DP), Net Position, DP Holding Statement, Order/Trade Confirmation, Bills, Client Master and all general informations and intimations to me/us on my provided Email ID during the period of my dealing with 4A SECURITIES LIMITED. I/We further undertake and confirm my following Email ID(s) for receiving communications sent to me by you and request you to record this Email ID for all future communications with me.

Email ID :

For in case of electronically delivery of the ECN, I/We acknowledge and agree that non-receipt of bounced mail notification by the Trading Member shall amount to deliver of the Contract Note on my/our Email ID. In case if the Trading member receives a bounce email notification, the trading member shall send a physical contract note within 48 hours of the bouncing of the email. I/We do not/does not acknowledge the ECN by sending reply email within the stipulated time provided by the Trading Member, the same shall be deemed to have been acknowledged. I/We shall bring to the trading member any discrepancy in the contract note thus observed within 48 hours of the receipt of the ECN. In case I/We do not/does not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us.

I/We undertake that it shall be my/our responsibility to inform the trading member about any change in my/our Email ID through a written request letter. I/We confirm that the trading member shall not be responsible for the delay or non-receipt of the ECN or any other communication due to any change in my/our Email ID or Inactive Email ID, Email box being full, failure to access my/our email id, failure of the email server, email in transit etc. I/We herby affirm that the trading member do not/does not require and shall not send hard copies of the contract notes at my/our correspondence address. I/We herby affirm that any information/ intimation/ documents/ reports shall be communicated preferably on my/our Email ID till such time the trading member receives any notification in writing from me/us.

I/We agree that the Log Reports of your dispatch software shall be a conclusive proof of dispatch of ECN and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

Please treat this authorization as written ratification of my/our verbal directions/ authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

Yours faithfully,

Signature : ¹¹.....

Client Name:.....

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

AUTHORITY LETTER FOR ORDER INSTRUCTIONS

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com

SUB : AUTHORITY LETTER FOR ORDER INSTRUCTIONS

I/We have been shall be dealing through you as my broker on the Capital Market and/or Futures & Options Segments / Currency Derivative Segment.

I/We understand that you require written instructions for receiving / modifying / cancelling orders. However, since it is not practical to give written instructions for order, I hereby authorize you to kindly accept my / my authorised representatives' verbal instructions / orders in person or over phone and execute the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders under the plea that same were not under mine/our instructions.

Please treat this authorization as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier. I/ We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

Thanking you,

Your faithfully,

Signature : ¹².....

Client Name:.....

AUTHORITY LETTER FOR FACILITATING A COMPUTER

Date

4A SECURITIES LIMITED

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Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com

Dear Sir,

Sub: Request for Providing Computer System in Branch Premises for Online Trading

I.....(Name of the client) S/o, R/o.....
..... having(Client code) registered with your company for online trading in equity & derivative market. I request you to provide me with a computer system in your branch to execute trades from my account. I hereby confirm and undertake that all the trades undertaken by me using such computer system provided to me in your branch premises shall be entirely binding upon me after execution of such trades. Further I also confirm that I have executed these trades from the user id and strictly confidential password (As per the policy of the company provided by it on its website) exclusively provided by the company to me and to comply with all the confidentiality provisions and terms of use agreement provided on company's website.

I agree to indemnify and hold harmless 4A SECURITIES LIMITED from and against any and all loss, damages, claims, liabilities, expenses and costs, including, without limitat/n, regulatory penalties, attorneys' fees and costs incurred by the company in connection with any claim arising out of execution of the trades executed on the computer system provided by the company on my request.

Thanking you

Yours truly

Signature : ¹³.....

Client Name:.....

AUTHORISATION FOR CONSENT LETTER FOR INTIMATION CALLS

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com

SUB: CONSENT LETTER FOR INTIMATION CALLS

I,.....S/o,D/o,W/o Sh./Smt.
R/ohas a trading account having
account No.and Demat account having Demat account No.with
you i.e., 4A SECURITIES LIMITED having its registered office at 203, Pankaj House, H Pocket Shopping Center, Sarita Vihar, New
Delhi-110076 & Corp. Office at 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025 (hereinafter referred as the "company")
have no objection if I received any service or financial transaction call or Message (hereinafter referred as the "Intimation Calls") on
behalf of the company.

I agree and understand that the said Intimation Calls are beneficial for me/us as the same are keeping me/us updated regarding the
services being introduced by the company through which I am/ we are associated with.

Thanking you,

Your faithfully,

Signature : Client Name:.....

AUTHORISATION FOR MUTUAL FUND SERVICE SYSTEM FACILITY

(Letter to be provided by the Investor to the Participant)

To Date:

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com

SUB: MUTUAL FUND SERVICE SYSTEM (MFSS) FACILITY

Sir,

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

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

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

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

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

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

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

Thanking you,

Yours faithfully,

Signature : Client Name:.....

Details of terms & conditions for the Investor / Client for using New MFSS facility

1. Pre-requisites for becoming Investor / Client for the New MFSS facility

- 1.1 The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
- 1.2 The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
- 1.3 The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
- 1.4 The Client has approached to the Participant with the application for availing the New MFSS facility.
- 1.5 The client has submitted relevant KYC (Know Your Client) details to the Participants

2. Terms and Conditions

- 2.1 The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2 The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
- 2.3 The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 2.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5 The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6 The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
- 2.7 The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- 2.8 The client will furnish information to the Participant in writing , if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9 In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
- 2.10 In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

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Sub : Authorisation of Group / Family Dealings.

Sr. No	Client Code of Family MEMBERS/ Associate	Name of Family MEMBER Associate	Category*	Name of Father/ Spouse	Signature

I/do hereby solemnly affirm and declare as under :

- That the above-mentioned authorized person/Members of my family are regulatory trading/ investing through you on National Stock Exchange of India Ltd. / Bombay Stock Exchange Ltd. and/or any other exchange(s). For all purposes of operations of my account with you, the above accounts shall be termed as Group Account.
- That I hereby authorize you to set off a part or whole of the collateral by way of appropriation of relevant amount of cash and/or any account of the Client or of the Member of the family of the Client Online or Offline accounts with the Trading Member against the outstanding dues in the account of the Client and/or of the Member of the family of the Client under this agreement and or any of the above mentioned segments and with the Trading Member. The above mentioned family Members/authorized person/group persons is/are also authorized to receive all documents from 4A SECURITIES LIMITED and s/are further authorized to do all acts necessary for operation in any account. All transactions, interalia include transfer of any or entire funds to his/her/their name. That I agree to intimate you from time to time of any additions or deletions of group/family Members in the group/family. I agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all the accounts of the Members of the group/family. In order to facilitate operations, I authorize the Member to maintain a running account instead of settlement to settlement clearance of dues to me and no interest shall be payable by the Member on the same.
- That I have given the above authority to 4A SECURITIES LIMITED with my free consent and without any pressure, threat or coercion from any corner whatsoever.
- That in future I shall not make any claim from 4A SECURITIES LIMITED in any manner whatsoever of any collateral adjusted from cash in my account to set off the outstanding debit amounts in the above mentioned accounts I further state that if any body on my behalf claims the above said adjusted amount, the said act shall be null and void and shall be ineffective from all corners.
- That this is my true irrevocable statement and shall remain binding on me.
- That I hereby undertake to intimate you from time to time of any additions of the Constituents to the said Group Account for the purpose of either allowing them to trade on my behalf or for the purpose adjustment of balance inter se.
- The signatures of the above-mentioned authorized persons/members of my family consenting to the above mentioned terms of adjustments are affixed below.

Name of Client :

Client Signature.....¹⁷.....

Client Code :

Category : Individual/Partnership/HUF/Proprietorship/Corporate/Trust/MF/FI/Bank/NBFC/Society/NRI/FII/OCB/Others (please specify)

DEPOSITORY - DEMAT ACCOUNT OPENING FORM

IMPORTANT NOTE

1. All joint holders PAN Card copy required & address proof separately
2. All Joint Holders sign with First Holder is to be reqd.
3. For address Proof - if the client submitting the following documents such as-in case of bank statement or copy of bank pass book, then sign & stamp of the bank required.
4. All documents attached with form should be self attested by the client.
5. Cancelled cheque for bank details should be sign by the client.

4A SECURITIES LIMITED

DP : CENTRAL DEPOSITORY SERVICE (I) LIMITED
DP ID - 12076600
Depository Service*

APPLICATION FORM FOR OPENING A DEMAT ACCOUNT

Internal Ref No..... Account No..... **12076600**

Client Name Branch Code

DEPOSITORY ACCOUNT OPENING DOCUMENTS - CHECKLIST (INDIVIDUAL)

Name of Document	Submitted	Not Required
Account Opening Form	<input type="checkbox"/>	
Depository Agreement*	<input type="checkbox"/>	
Specimen Signature List	<input type="checkbox"/>	
Debit Authorisation	<input type="checkbox"/>	
Fax indemnity (Optional) <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Documentary Proof (Tick ✓ below) (Should be verified with the original by the official at Branch)
 As per SEBI & CDSL rules & regulations, all account holders need to provide proof of address & proof of identity. In case of joint holdings all joint holders need to provide these proofs.

Proof of Identity	Proof of Address
<ol style="list-style-type: none"> 1. <input type="checkbox"/> Passport 2. <input type="checkbox"/> Voter ID Card 3. <input type="checkbox"/> Driving License 4. <input type="checkbox"/> PAN card with photograph (Mandatory) 5. <input type="checkbox"/> Credit Cards/Debit Cards issued by Bank with applicant's photo 6. Employee Identity card with applicant's Photo, issued by <ul style="list-style-type: none"> <input type="checkbox"/> Central/State Government and its Departments <input type="checkbox"/> Statutory/Regulatory Authorities <input type="checkbox"/> Professional Bodies such as ICAI, ICWAI, ICSI & Bar Council <input type="checkbox"/> Scheduled Commercial Banks <input type="checkbox"/> Public Financial Institutions <input type="checkbox"/> Public Sector Undertakings 7. Identity Card/document with applicant's photo, issued by :- <ul style="list-style-type: none"> <input type="checkbox"/> Scheduled Commercial Banks <input type="checkbox"/> Professional Bodies such as ICAI, ICWAI, ICSI and Bar Council 8. Joint Holder ID and Address Proof required to be must 	<ol style="list-style-type: none"> 1. <input type="checkbox"/> Ration Card 2. <input type="checkbox"/> Passport 3. <input type="checkbox"/> Voter ID Card 4. <input type="checkbox"/> Driving License 5. <input type="checkbox"/> Bank Statement/Pass book with multiple pages having latest entry details 6. <input type="checkbox"/> Bank Letter 7. Verified copy of <ul style="list-style-type: none"> <input type="checkbox"/> Electricity Bills (not more than two months old) <input type="checkbox"/> Residence Telephone Bills (Not more than two months old) <input type="checkbox"/> Leave and License agreement/Agreement for sale 8. <input type="checkbox"/> Self declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts 9. Document with address, issued by <ul style="list-style-type: none"> <input type="checkbox"/> Central/State Government and its Departments <input type="checkbox"/> Statutory/Regulatory Authorities <input type="checkbox"/> Public Sector Undertakings <input type="checkbox"/> Scheduled Commercial Banks <input type="checkbox"/> Public Financial Institutions <input type="checkbox"/> Professional Bodies such as ICAI, ICWAI, ICSI & Bar Council

Signed on Photograph on	<input type="checkbox"/>	
Signature cards		
Date of Birth Certificate in case of minor	<input type="checkbox"/>	<input type="checkbox"/>
Proof of NRI	<input type="checkbox"/>	<input type="checkbox"/>
Copy of RBI Approval for NRI's	<input type="checkbox"/>	<input type="checkbox"/>

* On ₹ 50/- ₹ 100/- Stamp Paper of ₹ 50/- ₹ 100/- affixed onto the Agreement

Fax Indemnity on Rs. 120/- Stamp Paper

Instructions for Applicants

1. If the Clearing member is a Sole Proprietor or an Individual, then the Corporate Account Opening Form should be filled in.
2. Signature can be in English, Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India.
Thumb impressions and signatures other than the above mentioned languages must be attested by a magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
3. Details of the names, Address and Tel. No. etc. of the magistrate / Notary Public / Special Executive magistrate are to be provided in case of any attestation dony by them.
4. In case of additional signatures, separate annexure should be attached to the application form.
5. In case of applications under a Power of Attorney, the relevant Power of Attorney (POA) or the Certified and duly notarised copy thereof, Name of the POA, Signature of the POA, must be lodged with the Depository Participant alongwith the application.
6. Strike off whichever is not applicable.

For office Use

Details entered in the system : ✓ Yes / No Date.....

Intimation sent to Investor : ✓ Yes / No Date.....

Name of the Official : Signature.....

Instructions for Filling up the Depository Services Account Opening Form for Non-Individuals

1. Please provide a passport size photograph of each of the authorised signatories, duly signed across.
2. Please provide a clear photocopy of a document acceptable as IDENTITY PROOF & ADDRESS PROOF of the authorised signatories.
3. Please provide a clear photocopy of PAN CARD and a document acceptable as ADDRESS PROOF of the Body Corporate.
4. Please ensure that all the columns of the account opening form are duly filled and no box or space is left blank. Please strike off whichever is not applicable.
5. Please note that the thumb impressions and signatures other than English or Hindi or any of the other languages not contained in the 8th schedule of constitution of India, must be attested by a Magistrate or a Notary Public or a special Executive Magistrate or applicant bank.
6. Please note that in case of more than three signatures, separate annexure should be attached to the application form.
7. Please provide a certified true copy of the Memorandum & Articles of Association (MOA & AOA) of the corporate.
8. Please provide a certified true copy of the Board Resolution for opening a demat account duly certified by MANAGING DIRECTOR/COMPANY SECRETARY.
9. Please provide a list of authorised signatories along with their designation, specimen signature and photographs duly verified by MANAGING DIRECTOR/COMPANY SECRETARY.
10. Please provide introduction by an existing account holder.
11. Please note that all communications shall be sent at the address of SOLE/FIRST HOLDER only.
12. List of Directors on company's letter head.
13. In case of application under power of attorney the relevant POA or the certified copy duly notarized thereof must be lodged along with the application.
14. Please sign at all the places marked.

DEPOSITORY ACCOUNT OPENING DOCUMENT CHECK LIST

S.No.	Name of the Documents	Tick (✓)	
1.	Application form duly filled and signed	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Agreement duly signed and witnessed	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	Schedule-A for DP charges duly signed	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.	Certified true copy of PAN Card	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.	Certified true copy of MOA & AOA	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5A.	Certified true copy of Incorporation certificate of the corporate investor	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.	Board resolution in the format provided in the form	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7.	List of authorised signatory along with designation, photograph & specimen signatures duly attested by Managing Director/Company Secretary	<input type="checkbox"/> Yes	<input type="checkbox"/> No
8.	Photograph(s) of authorised signatory	<input type="checkbox"/> Yes	<input type="checkbox"/> No
9.	Introduction by an existing account holder	<input type="checkbox"/> Yes	<input type="checkbox"/> No
10.	Identification proof of authorised signatories		
11.	ADDRESS PROOF (please give copy of any one of the following)		
	A. Document registered with ROC (Certified true copy)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	B. Latest acknowledgment copy of income tax return (Certified true copy)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	C. Copy of Bank Statement (bank certified true copy not more than 4 month old) or Original bank statement (not more than 4 month old) Self attested by the investor along with cancel cheque.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	D. Lease and License agreement/agreement for sale (Certified true copy)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

For office Use

Details entered in the system : Yes / No Date.....

Intimation sent to Investor : Yes / No Date.....

Name of the Official : Signature.....



4A

together we make it big!

SEBI REGN. NO. IN-DP-CDSL-685-2013

DP ID - 12076600

APPLICATION FORM FOR OPENING A SECURITIES ACCOUNT (INDIVIDUAL / NRI / FOREIGN NATIONAL)

Please fill all the details in BLOCK LETTERS in English

Date				Account No.	1	2	0	7	6	6	0	0	0	0						
------	--	--	--	-------------	---	---	---	---	---	---	---	---	---	---	--	--	--	--	--	--

I/We request you to opening Depository Account in my/our Name as per the following details :

Type of Account (Please tick which ever is applicable)

Status	Sub-Status		
<input type="checkbox"/> 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"/> Others (specify)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI- Depository Receipts
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)

SOLE/FIRST HOLDER'S DETAILS (FILL UP THE FORM IN CAPITAL LETTERS)

★ Compulsory Fields

First Name ★																				
Middle Name ★																				
Last / Search Name ★																				
Father / Husband's Name ★																				
Title ★	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Others										Suffix									
Correspondence Address ★																				
City ★											State ★									
Country ★											Pin ★									
Telephone No. ★											Fax No.		Mobile No. ★							
PAN ★																				
E-mail ID ★																				
Permanent Address (If different from Correspondence Address)																				
City											State									
Country											Pin									
Telephone No.											Fax No.									
E-mail ID																				
Date of Birth ★	____/____/____																			
Nationality ★	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)_____										Sex ★		<input type="checkbox"/> Male <input type="checkbox"/> Female							
Occupation ★	<input type="checkbox"/> Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body } <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify).....																			
Nature of Business (Product / services provided)																				
Education Qualification ★	<input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Professional <input type="checkbox"/> Others (Pls. Specify).....																			
Financial Details ★	<input type="checkbox"/> Up to 1,00,000										<input type="checkbox"/> Rs. 1,00,001 to 2,00,000									
(Income Range per annum)	<input type="checkbox"/> Rs. 2,00,001 to 5,00,000										<input type="checkbox"/> More than 5,00,000									
Waiver from Confirmation for Credits (Automatic)★	<input type="checkbox"/> Yes										<input type="checkbox"/> No									
A/c Statement Required	<input type="checkbox"/> Daily					<input type="checkbox"/> Weekly					<input type="checkbox"/> Fortnightly					(Charged Extra)				
	<input type="checkbox"/> Monthly					<input type="checkbox"/> Quarterly					<input type="checkbox"/> Semi-Annualy					<input type="checkbox"/> Annualy				
I / We request you to send Electronic Transaction-cum-Holding Statement at Sole / First Holders Email ID stated in the Account Opening Form or at _____											<input type="checkbox"/> Yes <input type="checkbox"/> No									

★ 1. SIGN

★ Sign All Joint Holders

4A SECURITIES LIMITED

Bank Details* (In future dividends may be credited in this account)

★ Compulsory Fields

	Electronic Credit or Mandate (For Divident / Interest)
Bank Name ★	
Branch Name/Address ★	
Bank A/c No. ★	
9-Digit MICR Code No. ★	
IFSC Code ★	
A/c Type ★	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit

For NRI / Foreign National (Only if the first / Sole holder is an NRI / Foreign National)

Foreign Address		Indian Address	
City		City	
Country		Country	
Pin Code		Pin Code	
Telephone No.		Telephone No.	
Fax No.		Fax No.	
Currency		E-mail	
RBI Regn. No./Ref. No.		RBI Approval Date	

OTHER HOLDER DETAILS (SECOND HOLDER) ★

Name			
	First Name	Middle Name	Last Name
Father / Husband's Name			
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Others	Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Permanent Address			
City	State		Country
Pin	Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify).....	
Telephone No.	Mobile No.		
PAN	Date of Birth/...../.....	
E-mail ID			
Occupation	<input type="checkbox"/> Service <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify).....		

THIRD HOLDER ★

Name			
	First Name	Middle Name	Last Name
Father / Husband's Name			
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Others	Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Permanent Address			
City	State		Country
Pin	Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify).....	
Telephone No.	Mobile No.		
PAN	Date of Birth/...../.....	
E-mail ID			
Occupation	<input type="checkbox"/> Service <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify).....		

★ 2. SIGN

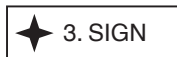
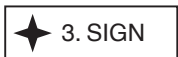
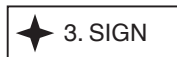
★ Sign All Joint Holders

4A SECURITIES LIMITED

Guardian Details (If Sole/First Holder is a minor)

Guardian's Name			
Relationship			
Address			
City		State	
Country		Pin Code	
Telephone No.		Fax No.	
E-mail Address			

I/We have read the agreement, terms and conditions and agree to abide by and bound by the Bye laws as are in force from time to time for such account. I/We declare that the particulars given by me/us above me/us above true and to the best of my/our knowledge as on the date of making this application. 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 further action.

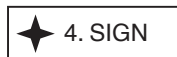
	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

First Holder



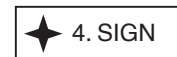
Passport size photograph
(Please Sign. across the
Photograph)

Second Holder



Passport size photograph
(Please Sign. across the
Photograph)

Third Holder



Passport size photograph
(Please Sign. across the
Photograph)

----- Tear from here -----

4A SECURITIES LIMITED

DP ID-12076600

Acknowledgement Receipt

Application No. AI

Date

We hereby acknowledgement the receipt of the Account Opening Application Form :

Name of the Sole/First Holder	
Name of the Second Holder	
Name of the Third Holder	

If you need any further clarification / information please feel free to call us at telephone numbers mentioned overleaf.

Depository Participant Stamp & Signature

SPECIMEN SIGNATURES

4A SECURITIES LIMITED

DP. CENTRAL DEPOSITORY SERVICES (I) LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Tel : +91-11-49002200 | E-mail : info@4asecurities.com

Website : www.4asecurities.com

Account No.

Name :

Specimen Signatures of mine / us / of the person(s) authorised by us are given below (Please sign in black ink)

Name of Account Holders	Signature(s) ★★ OR Thumb Impression (attested by Gazetted Officer)
First Holder	1. <input type="text" value="★ 6. SIGN"/>
Second Holder	2. <input type="text" value="★ SIGN"/>
Third Holder	3. <input type="text" value="★ SIGN"/>

Tel No. _____ E-mail ID: _____

Fax Indemnity Yes No

Standing Instruction of Credit Yes No

Note : In case of additional signatures separate annexures should be attested to the Application Form. ★★ Signature in all the languages mentioned in the Eighth Schedule of the Constitution are accepted.

----- Tear from here -----

4A SECURITIES LIMITED

DP. CENTRAL DEPOSITORY SERVICES (I) LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Tel : +91-11-49002200 | E-mail : info@4asecurities.com

Website : www.4asecurities.com

SEBI REGN. NO. : IN-DP-CDSL-685-2013

DP ID : 12076600

NOMINATION ★

4A SECURITIES LIMITED

DP. CENTRAL DEPOSITORY SERVICES (I) LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Tel : +91-11-49002200 | E-mail : info@4asecurities.com | Website : www.4asecurities.com



Dear Sir/Madam,

I/We the sole holder / Joint holders / guardian (in case of minor) hereby declare that:

I/We **do not wish to nominate any one for this account.**

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this Form]

I/We **nominate** the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the sold holder or the death of all joint holders

★ Compulsory Fields

Bo Account Details																																	
DPID	1	2	0	7	6	6	0	0	Client Id																								
Name of the Sole / First Holder																																	
Name of Second holder																																	
Name of Third holder																																	
Nominee Details																																	
First Name ★																																	
Middle Name ★																																	
Last Name ★																																	
Address ★																																	
City ★												State ★																					
Country ★												PIN ★																					
Telephone No. ★												Fax No.★																					
E-mail ID ★																																	
Relationship with BO (If any) ★																																	
Date of Birth (if nominee is a minor) ★																																	

As the nominee is a **minor** as on date, I/we appoint following person to act as **Guardian**:

Guardian details																							
First Name																							
Middle Name																							
Last Name																							
Address																							
City												State											
Country												PIN											
Telephone No.												Fax No.											
Age																							

to receive the securities in this account on behalf of the nominee in the event of the death of the sole holder / all Joint holders.

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Place : Date : Nominee Reg. No.:.....

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature	✦ 7. SIGN	✦ Sign Second Holder	✦ Sign Third Holder

Note : Two witnesses shall attest signature(s) / thumb impression(s).

Details of the Witness		
	First Witness ★	Second Witness ★
Name of witness		
Address of Witness		
Signature of Witness		

DECLARATION BY HUF

Please fill in for a HUF

As our HUF firm wishes to open an account with you DP in the said name.....
we beg to say that the first signatory to this letter, ie.....is the Karta of the Joint Family
and other signatories are the audit co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto
in the interest and for the benefit of the entire body to co-parceners of the joint family. We all undertake that claims due to the DP from
the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatories
is the Karta including the share of minor co-parceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under
the said Act.

We hereby under take to inform the DP of the death or birth of a co-parcener of any change occurring at any time in the membership
of our joint family during the currency of the account.

S. No.	Name	Date of Birth	Sex	Relation	Signature
1					
2					
3					
4					
5					

✦ SIGN of Karta

DECLARATION BY NRI

The Manager
Depository Division

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

SUB : FEMA Declaration

Ref : My Demat Account No.

This has reference to my demat account under NRI-Repatriable/Nonrepatriable Category.

I hereby declare that I have complied and will continue to comply with FEMA Regulations.

Thanking you,

Your faithfully,

✦ 8. SIGN

SEBI REGN. NO. IN-DP-CDSL-685-2013
DP ID - 12076600

**APPLICATION FOR OPENING DEPOSITORY ACCOUNT
(FOR ENTITIES OTHER THAN INDIVIDUAL / HUF)**

Date :

Client Id :

1	2	0	7	6	6	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

I/We request you to open a depository account in our name as per the following details :
(Please fill all the details in CAPITAL LETTERS only)

Type of Account : Body Corporate Bank Trust Mutual Fund FI
 CM Clearing House Other (specify).....

NAME OF COMPANY/FIRM :

Date of Incorporation :

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

Registered Office :
: Pin Code :

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

Correspondence Address :
: Pin Code :

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

Address for Communication : Regd. Office Correspondence Address

Registration No. / CIN :PAN

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

Telephone No. (with STD/ISD Code) :Fax :Mobile.....

E-mail :

STANDING INSTRUCTIONS

We authorise you to receive credits automatically into our account : Yes No

ACCOUNT TO BE OPERATED THROUGH POWER OF ATTORNEY (POA) : Yes No

BANK DETAILS

Bank Name :

Account Number :

9-Digit MICR Code No. : IFSC Code :

Branch :

Branch Address :

Account Type : Savings Current NRI Others.....

★ 9. SIGN

★ Sign All Authorised Signatory

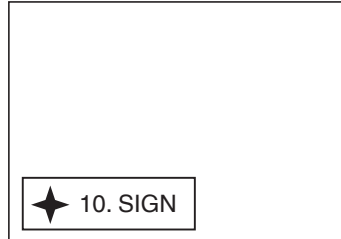
DECLARATION

The rules and regulations of the Depository and Depository participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We also declare that the particulars given by me/us are true to the best of my/our knowledge as on the date of making such application. I/we further agree that any false/misleading information given by me or suppression of any material fact will render my account liable of termination and further action.

FIRST AUTHORISED SIGNATORY

Name :
Designation :
Address :
..... City.....
State.....Pin Code
Bank Name.....
A/c No.....PAN

Specimen Signatures


◆ 10. SIGN

Photographs

Please affix your recent passport size photograph & sign across
◆ 11. SIGN

SECOND AUTHORISED SIGNATORY

Name :
Designation :
Address :
..... City.....
State.....Pin Code
Bank Name.....
A/c No.....PAN

Specimen Signatures


◆ SIGN

Photographs

Please affix your recent passport size photograph & sign across
◆ SIGN

THIRD AUTHORISED SIGNATORY

Name :
Designation :
Address :
..... City.....
State.....Pin Code
Bank Name.....
A/c No.....PAN

Specimen Signatures


◆ SIGN

Photographs

Please affix your recent passport size photograph & sign across
◆ SIGN

FOURTH AUTHORISED SIGNATORY

Name :
Designation :
Address :
..... City.....
State.....Pin Code
Bank Name.....
A/c No.....PAN

Specimen Signatures


◆ SIGN

Photographs

Please affix your recent passport size photograph & sign across
◆ SIGN

(To be signed by the applicant only in case of nomination)

Witness- Name and Signature

Name.....
Address.....
Signature.....
Dated
Place.....

Witness- Name and Signature

Name.....
Address.....
Signature.....
Dated
Place.....

SPECIMEN SIGNATURES

4A SECURITIES LIMITED

DP. CENTRAL DEPOSITORY SERVICES (I) LIMITED
 Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
 Tel : +91-11-49002200 | E-mail : info@4asecurities.com
 Website : www.4asecurities.com

Account No.

Name :

Specimen Signatures of mine / us / of the person(s) authorised by us are given below

	First Auth Sign.	Second Auth Sign.
SIGNATURE(S)	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> 12. SIGN </div>	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> SIGN </div>
	Third Auth Sign.	Fourth Auth Sign.
SIGNATURE(S)	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> SIGN </div>	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> SIGN </div>

----- Tear from here -----

4A SECURITIES LIMITED

DP ID-12076600

Acknowledgement Receipt

Application No. Date

We hereby acknowledgement the receipt of the Account Opening Application Form from:

Name of the First Authorised Signatory	
Name of the Second Authorised Signatory	
Name of the Third Authorised Signatory	
Name of the Fourth Authorised Signatory	

If you need any further clarification / information please feel free to call us at telephone numbers mentioned overleaf.

Depository Participant Stamp & Signature



4A

together we make it big!

Tear from here

4A SECURITIES LIMITED

DP. CENTRAL DEPOSITORY SERVICES (I) LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Tel : +91-11-49002200 | E-mail : info@4asecurities.com

Website : www.4asecurities.com

SEBI REGN. NO. : IN-DP-CDSL-685-2013

DP ID : 12076600

4A SECURITIES LIMITED

AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING TO OPEN A BENEFICIARY OWNER'S ACCOUNT

This Agreement made and entered into this.....day of, between 4A SECURITIES LIMITED, (description of the legal entity) having his/its Registered & Corporate Office at 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025, hereinafter called "**the Participant**" of the One Part; AND, (description of the legal entity having his/its office/registered office/ address at..... hereinafter called "**the Beneficial Owner**" of the Other Part.

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

◆ 13. SIGN

◆ Sign All Joint Holders

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

General Clause

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

Fees, Charges and deposits

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

Statement of Account

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.
- 3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

Beneficial Owner shall intimate change of particulars

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

Depository not liable for claims against Beneficial Owner

5. DP shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes,

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

Authorised Representative

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

Termination

7. The parties may at any time terminate this agreement, provided that a notice of not less than thirty days is given in the manner and on the terms and conditions and procedure set out in the Bye Laws and the Operating Instructions. In the event of termination by either party, the Participant shall deal with the securities lying in the account of a Beneficial Owner in accordance with the instructions of such Beneficial Owner.

Stamp Duty

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

Force Majeure

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

Service of Notice

10. Any notice or communication required to be given under this agreement shall be in writing, and shall be legally effective only when it is delivered to the addressee at the last known address in the manner prescribed in the operating instructions.

Arbitration

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

Jurisdiction

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

Governing Law

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

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

◆ 14. SIGN

◆ Sign All Joint Holders

Beneficial Owner's Signature
SIGNED AND DELIVERED BY

(for and on behalf of 4A SECURITIES LIMITED
the Depository Participant)

1st Witness-Name and Signature★

Name

Address

Signature.....

2nd Witness

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

★ Compulsory Fields

SCHEDULE I

FORMING PART OF THE AGREEMENT BETWEEN THE PARTICIPANT AND THE PERSON SEEKING TO OPENING A BENEFICIAL OWNER'S ACCOUNT

1. General Clause

- 1.1. The Participant shall continue to be bound by the Bye Laws and Operating Instructions, even after ceasing to be a Participant in so far as may be necessary for completion of or compliance with his/its obligations in respect of all matters, entries or transactions which the Participant may have carried out, executed to do, before ceasing to be the Participant and which may have remained outstanding, incomplete or pending at the time of his/its ceasing to be a participant.

2. Fees, charges and deposits

- 2.1. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf.
- 2.2. The Beneficial Owner further agrees that in the event of the Beneficial Owner committing a default in the payment of any of the amount payable to the, participant by way of fees, charges or otherwise on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified) then, without prejudice to the right of the Participant to terminate the Agreement and close the account of the Beneficial Owner, the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid at the rate 2% per months or part thereof.

3. Unique Identification Number

- 3.1. CDS shall allocate a unique identification number to the Beneficial Owner (Beneficial Owner ID)

4. Responsibilities of the Beneficial Owner

- 4.1. The Beneficial Owner shall be responsible for
- 4.1.1. The veracity of all statements and particulars set out in the account opening form, supporting or accompanying documents and the Agreement ;
- 4.1.2. The authenticity and genuineness of all certificates and/or documents submitted to the Participant along with or in support of the account opening form or subsequently for dematerialisation ;
- 4.1.3. Title to the securities submitted to the Participant from time to time for dematerialisation
- 4.1.4. Ensuring at all times that the securities to the credit of his/its account are sufficient to meet the instructions issued to the Participant for effecting any transaction ;
- 4.1.5. Informing the Participant at the earliest of any changes in the account particulars of the Beneficial Owner such as address, bank details, status, authorisations, mandates nomination, signature etc. ;
- 4.1.6. Furnishing accurate identification details whilst subscribing to any issue of securities.

5. Participant to open separate account for each Beneficial Owner

- 5.1. The Participant shall maintain a separate account for each beneficial owner and ensure that the securities of the Beneficial Owner are not mixed with the securities of any other beneficial owner or those of the Participant.

6. Execution of Beneficial Owner's instructions

- 6.1. Subject to the Participant's right of lien and subject to any orders instructions, directions or instructions issued by any Court, Tribunal, SEBI, Central or State Government or any other authority empowered in that behalf or by CDS, the Participant shall carry out the instructions issued by the Beneficial Owner confirming debits or credits to his/its account pursuant to any transaction of his/its securities with utmost dispatch on the same day on which the instruction are issued and failing that before the close of working hours of the immediately succeeding working day provided however, that subject to the above, the Beneficial Owner may issue standing instructions to the Participant for crediting his account in accordance with the instructions.
- 6.2. Where multiple instructions are received from the Beneficial Owner and the Beneficial Owner specifies the sequence of execution of instructions, the instructions shall be carried out by the Participant in the same manner and sequence as shall have been specified by the Beneficial Owner to the extent it can be executed with the clear balance available in the Beneficial Owner's account with the Participant.
- 6.3. Where multiple instructions are received from the Beneficial Owner but the Beneficial Owner has not specified the sequence of execution of instructions, the Participant shall execute the instructions in the same chronological order in which such instructions were received from the Beneficial Owner to the extent it can be executed with the clear balance available in the Beneficial Owner's account with the Participant.
- 6.4. The Beneficial Owner may at any time instruct the Participant to dematerialise any eligible securities held in physical form. The Participant after electronically registering such request with CDS shall forward the Dematerialisation Request Form (DRF) along with the relevant security certificates to the Issuer or its RTA within two working days of the receipt of the same from the Beneficial Owner and till such time shall ensure the safe custody of the securities in physical form.
- 6.5. The Beneficial Owner may at any time make a request to the Participate for rematerialisation of the balances in his/its account (or any part thereof), which request shall be made in the Rematerialisation Request Form (RRF). Before accepting the RRF, the Participant shall ensure that sufficient unencumbered balance in respect of the relevant securities is available in the Beneficial Owner's account and shall electronically intimate the request to CDS. The Participant shall within two working days of accepting such RRF

from the Beneficial Owner forward the same to the Issuer or its RTA.

7. Pledge/Hypothecation

- 7.1. The Beneficial Owner may pledge or hypothecate the securities held in his/its account with the Participant strictly in accordance with the provisions and restrictions laid down in the Regulations, Bye Laws, Operating Instructions. Save and except the creation of a pledge or hypothecation in the manner aforesaid the Beneficial Owner shall not in any manner charge, mortgage or otherwise encumber the securities held in his/its account with the Participant.

8. Freezing and Defreezing of Beneficial Owner's Account

- 8.1. The Beneficial Owner may at any time exercise his/its right to freeze his/its account with the Participant so as to freeze all operations in respect of such securities held in his/its account with the Participant for such period as the Beneficial Owner may specify. The Participant shall indemnify and keep indemnified the Beneficial Owner from any harm, loss, damage or injury that the Beneficial Owner may suffer or incur by reason of the Participant's failure to freeze the Beneficial Owners account within such time from the receipt of valid instructions in that behalf and in such manner as may be specified by the Bye Laws and Operating Instructions.
- 8.2. The Beneficial Owner may at any time exercise his/its right to defreeze and reactivate his/its account maintained with the Participant in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and/or Operating instructions. The Participant shall indemnify and keep indemnified the Beneficial Owner from any harm, loss, damage or injury that the Beneficial Owner may suffer or incur by reason of the Participant's failure to defreeze the Beneficial Owner's account within such time from the receipt of valid instructions in that behalf and in such manner as may be specified by the Bye Laws and Operating Instructions.
- 8.3. The account of the Beneficial Owner shall be frozen by the Participant, on the Participant being served with any, direction, order or decree of a Court, Tribunal, Central or State Government, SEBI or any statutory or revenue authority or on receipt of written instructions from CDS calling upon the Participant so to do and upon such account being frozen, the Participant shall forthwith intimate the Beneficial Owner of the same.

9. Participant's Lien

- 9.1. The Participant shall not exercise any lien without the prior approval of CDS, on any securities belonging to the Beneficial Owners held in dematerialised form in any account with the Participant in his capacity as such including any compensation for any loss caused to the Participant and/or CDS by reason of fraud, negligence or mistake on the part of the Beneficial Owner. The Participant shall, upon receipt of such approval from CDS, give notice in writing to the Beneficial Owner of the exercise of such lien by the Participant in respect of such of the securities held in the Beneficial Owner's account as CDS may specify.

10. Beneficial Owner to intimate change of particulars

- 10.1. The Beneficial Owner shall notify the Participant of any change in the particulars set out, in the application form submitted to the Participant at the time of opening the account or furnished to the Participant form time to time at the earliest. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his failure to intimate such change to the Participant at the earliest.

11. Participant not liable for claims against Beneficial Owner

- 11.1. The Participant shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to be Beneficial Owner's account.

12. Authorised Representative

- 12.1. Where the Beneficial Owner is a body corporate, it shall, simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorised 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.

13. Confidentiality

- 13.1. The Participant shall be at liberty to provide or disclose such details, particulars, data or information relating to the Beneficial Owner and or his accounts may be required or directed in writing by any Court; Tribunal, Central or State Government, SEBI or any other regulatory or revenue authority empowered by law in that behalf or by CDS or the concerned Issuer and or RTA or Clearing Corporation through CDS or as may be required for compliance with any obligations in law or for enforcement of any of its rights or for protection of its interest without reference or recourse to the Beneficial Owner provided however that save and except as aforesaid, the Participant shall not divulge or permit or suffer to be disclosed any such details, particulars, data or information to any party or person and shall hold such details, particulars, data and information in strict confidence.

14. Change in address

- 14.1. The Beneficial Owner shall inform the Participant of any proposed change in address of its office registered office at least thirty days before the date of such, change.

15. Closure of Account

- 15.1. The Beneficial Owner may at any time terminate the Agreement by calling upon the

◆ 15. SIGN

◆ Sign All Joint Holders

Participant to close his/its account with the Participant provided no instructions remain pending or unexecuted and no fees or charges remain payable by the Beneficial Owner to the Participant. In such event the Beneficial Owner shall make in application to the Participant in the format specified by CDS in that behalf. The Beneficial Owner may close his/its account by executing the account closing form if no balances are standing to his/its credit in the account. In case any balances of securities exist in the account sought to be closed, the account may be closed in one of the following ways:

- 15.1.1. by rematerialisation of all existing balance in his/its account;
- 15.1.2. by transfer of all existing balances in his/its account to one or more of his/its other accounts held with any other participants;
- 15.1.3. by rematerialisation of a part of the existing balances in his/its account and by transferring the rest to one or more of his/its other accounts with any other participants.

15.2. The Participant shall initiate the procedure for transfer of balances or for rematerialisation of securities in the Beneficial Owner's account, as the case may be, within a period of two working days from the date of receipt of instructions from the Beneficial Owner in that behalf.

15.3. The Beneficial Owner's account shall not be closed if there exist any securities in the Beneficial Owner's account which are pledged or hypothecated unless such closure is consented to hypothecated unless such closure is consented to by the pledgee or the hypothecate, as the case may be, as the case may be, as the case may be or the account is unreconciled or if the closure of such account would result in breach or violation of any decree or order or injunction of any Court Tribunal or Statutory or Revenue authority.

15.4. In the event of the Participant ceasing to be a participant, the Beneficial Owner may either seek rematerialisation of his/its securities or request for the transfer of the securities in its account to an account opened with another participant.

16. Circumstances under which the participant is entitled to Terminate the Agreement

16.1. In the event of the Beneficial Owner :

- 16.1.1. failing to pay the fees or charges as may be mutually agreed upon within a period of thirty days from the date of demand made in that behalf.
- 16.1.2. submitting for dematerialisation any certificates or other documents of title which are forged, fabricated, counterfeit or stolen or have been, obtained by forgery or the transfer whereof is restrained or, prohibited by any direction, order or decree of any Court, Tribunal, Central or State Government, SEBI or any statutory, or revenue authority or under any covenant or undertaking given to any statutory authority;
- 16.1.3. commits or participates in any fraud or other act of moral turpitude in his/its dealings with the Participant;
- 16.1.4. Otherwise misconducts himself in any manner.

16.2. The Participant may also terminate the Agreement without assigning any reasons for such termination provided the Participant shall have issued at least one month's prior notice in writing to the Beneficial Owner in that behalf.

16.3. In the event of the Participant terminating the Agreement, the Participant shall call upon the Beneficial Owner to specify whether he desires to have the security balances in his/ its account transferred to his/its account with another participant or to have the same rematerialised in the manner specified in the Bye Laws and the Participant shall accordingly close the account of the Beneficial Owner.

16.4. Where the Agreement is terminated by the Participant for any reason not attributable to the Beneficial Owner, the cost, charges and expenses involved in the transfer of the Beneficial Owner's account to any other Participant or rematerialisation of securities in such account shall be borne by the Participant.

16.5. Upon termination of the Agreement, if the Beneficial Owner fails to specify the account with any other Participant to which the existing balances are to be transferred or if the Participant fails to take necessary steps to have the securities in such account transferred to the Beneficial Owner's account with some other Participant, CDS shall nominate any other participant to whom such account shall stand transferred for the time being, provided however that no transaction in respect of securities in such transferred account shall be effected until such time as the Beneficial Owner shall have entered into an agreement with the participant to whom such account shall have been so transferred by CDS.

16.6. Notwithstanding termination of the Agreement by the Participant or closure of his/its account by the Beneficial Owner, the provisions of the Agreement and all mutual rights and obligations arising therefrom shall, except in so far as the same are contrary to or inconsistent with such termination or closure, shall continue to be binding on the parties in respect of all acts, deeds, matters and things done and transactions effected during the period when the Agreement was effective.

17. Indemnity

17.1. The Participant shall indemnify and keep indemnified and saved harmless the Beneficial Owner from and against all harm, loss, damage and injury and all claims, demands, suits, actions, litigation, prosecution and every other proceedings whatsoever (including all costs, charges and expenses relating thereto) suffered or incurred by the Beneficial Owner by reason of or on account of the Participant effecting any debit or credit of securities to the account of the Beneficial Owner without due confirmation from or contrary to or inconsistent with the instructions of the Beneficial Owner or otherwise failing to carry out the instructions of the Beneficial Owner or on account of any negligence on the part of the Participant, its employees, servants or agents or otherwise committing any act, deed, matter or thing which is violative of the Act, Regulations, Bye Laws and Operating Instructions.

17.2. The Beneficial Owner shall indemnify and keep indemnified and saved harmless the Participant, his/its employees and servants from and against all harm, loss, damage and injury and all claims, demands, suits, action, litigation, prosecution or every other proceeding

whatsoever (and all costs, charges and expenses relating thereto) suffered or incurred by the Participant on account of or as a reason of any certificates or other documents in respect of the securities submitted to the Participant being forged, fabricated, counterfeit, stolen, cancelled or being otherwise invalid or such securities being subject to any decree, order or injunction of any Court, Tribunal, Central or State Government or any other authority empowered in that behalf restraining or prohibiting transfer of those securities or the transfer or such securities being in breach of any undertaking or covenant in favour of any statutory body or authority.

18. Stamp Duty

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

19. Force Majeure etc.

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

20. Service of Notice

20.1. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified.

20.2. Notice given by personal delivery shall be deemed to be given at the time of delivery.

20.3. Notice sent by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posting.

20.4. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

21. Severability

21.1. If any provision of the Agreement shall be held or adjudged by any competent Court, Tribunal or regulatory authority to be unlawful, void or unenforceable or if any provision is rendered void or unenforceable by reason of any statutory amendment notification or any judicial decision such provision shall to the extent required by severed from the Agreement and rendered ineffective as far as possible without modifying the remaining provisions of the Agreement but shall not in any way effect the validity or enforcement of the rest of the provisions of the Agreement which shall continue to apply with full force and effect.

22. Amendments/Modifications at SEBI'S instance to be binding

22.1. The parties hereto shall be bound by any additions, alterations, modifications, amendments or deletions to the Agreement or to any provisions thereof as maybe required or directed SEBI and shall execute all such deeds, documents or writings as may be required for giving effect thereto.

23. No Waiver

23.1. Neither party hereto shall be deemed to have waived, abandoned or relinquished any right, power, privilege or remedy available to it under the Agreement or in law except by a writing executed in that behalf and no failure or delay on the part of any of the parties hereto in the exercise of such right, power, privilege or remedy shall operate as a waiver thereof or as a waiver of any preceding or succeeding breach by the other party to the Agreement nor shall any single or any partial exercise of any right, power, privilege or remedy preclude any other or further exercise of such or any other right, power, privilege or remedy available under the Agreement or otherwise available in law or in equity it being agreed that all such rights, powers, privileges or remedies are several and cumulative of each other.

24. Governing Language

24.1. All deeds, documents and writings that may be executed and all correspondence that may be exchanged between the parties hereto in relation to the subject matter of the Agreement shall be in English language, which shall be the governing language between the parties hereto.

25. Governing Law

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

26. Headings

26.1. The heading in the Agreement are for convenience and reference only and shall in no way affect the construction or interpretations of the Agreement.

27. Interpretation

27.1. Unless the context otherwise requires, words denoting the singular shall include the plural and vice versa and words denoting the masculine gender shall include the feminine and vice versa and any reference to any statute, enactment or legislation or any provision thereof shall include any amendment thereto or any re-enactment thereof.

◆ 16. SIGN

◆ Sign All Joint Holders

4A SECURITIES LIMITED

(Depository Participant - CDSL) DPID : 12076600 DP SEBI Regn. No. IN-DP-CDSL-685-2013
 Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
 Tel : +91-11-49002200 | E-mail : info@4asecurities.com
 Website : www.4asecurities.com

Ref. No.



Terms and Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. "DP" means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. "BO" means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes

any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees :

The depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

DP Id	1	2	0	7	6	6	0	0	BO Id	0	0								
-------	---	---	---	---	---	---	---	---	-------	---	---	--	--	--	--	--	--	--	--

(Please write your 8 digit BO Id in CDSL)

Sole/First Holder's Name :

Second Holder's Name :

Third Holder's Name :

Mobile No. on which messages are to be sent

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

 (Please write only the mobile number without prefixing country code or zero)

The Mobile Number is registered in the name of :

E-mail Id :
 (Please write only ONE valid email Id on which communication; if any, is to be sent)

Place :
 Date :/...../20.....

★ 17. SIGN

★ Sign All Joint Holders

POA FOR PAY-IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT

To all to whom these presents shall come I/ we _____, residing at/_____ having its registered & corporate office at 4A Securities Limited, 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025, send greetings.

Whereas I/we hold beneficial owner account number 12076600. _____ With Central Depository Services (India) Limited, through 4A Securities Limited registered with Securities and Exchange Board of India (SEBI)

And Whereas I/ we am/ are desirous to buy and sell securities through 4A Securities Limited who is a stock broker registered with SEBI and member of recognized stock exchange/s. (NSE-INB231456030) and (BSE-INB011456036)

And Whereas I/we am/are desirous of appointing 4A Securities Limited as my/our constituted attorney to operate my/our beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/we do hereby nominate, constitute and appoint 4A Securities Limited (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorise it to perform the following functions on my behalf:

- i. To transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat account nos. 12076600_____ (NSE), 12076600_____ (BSE) of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.
- ii. To pledge the securities in favor of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker.
- iii. To return to me/us, the securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me/us;
- iv. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- v. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.
 I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at 4A Securities Limited, 225, DLF Tower-A, Jasola Vihar, Jasola New Delhi-110076.

SIGNED AND DELIVERED

By the within named Beneficial Owner

.....
 IN THE PRESENCE OF }
 I/we Accept

◆ 18. SIGN

◆ Sign All Joint Holders

4A SECURITIES LIMITED

Director / Authorised Signatory

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A,
 Jasola Vihar, Jasola, New Delhi-110025

.....
 (Name Address and Signature of the Attorney)

FOR HUF ACCOUNT ONLY		
Name Signature of Co-parceners		
Sr.	Name with Date of Birth	Signature
1.		
2.		
3.		
4.		
5.		

◆ SIGN of Karta



4A

together we make it big!

REQUISITION SLIP
Instruction Slip for Market Delivery

From _____

Date _____

Account No.

DP ID : 12076600

To,

4A SECURITIES LIMITED

Regd. & Corporate Office: 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Tel : +91-11-49002200 | E-mail : info@4asecurities.com

Website : www.4asecurities.com

Please issue the Instruction Book by Self / Bearer Shri / Smt.

who will sign as.....

(Specimen Signature of bearer)

✦ 19. SIGN

✦ Sign All Joint Holders

(For Office use only)

Instruction No.

From

To

Date of Issue

Authorised Signatory

BLANK & SIGNED DELIVERY INSTRUCTION SLIPS SHOULD NOT BE LEFT WITH YOUR DP / BROKER

(DISCLOSURE TO CLIENT)

TO,

.....
.....
.....

Sir,

As per exchange notification, we hereby inform you that, we do trading on behalf of client and on our own account also.

Thanks and best regards

For **4A SECURITIES LIMITED**

(Authorised Signatory)

I acknowledge receipt of your information that you do client based trading and Pro account trading.

✦ 20. SIGN

✦ Sign All Joint Holders



4A

together we make it big!



4A

together we make it big!

CONSENT LETTER FOR SMS

Date : ____/____/____

I, _____, S/o, _____, R/o, _____
_____ Aged _____, having a trading account bearing
No, _____ and Demat account bearing No _____ with you i.e. 4A SECURITIES
LIMITED, having its registered & corporate office at 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
(hereinafter referred to as "Company")

1. I have a mobile no/nos i.e. _____, _____, _____ and the same is registered with the Company for receiving the Trade/Order Confirmation, Short Margin Information, Balance Confirmation, Investment/Trading Advisory Services, Promotional Services, ECS/DD confirmation or any other ancillary services with regard to the operation of the above mentioned Trading as well as Demat Account or in connection to the any sales promotional activities launched by the company with regard to its existing products or new products.
2. I hereby authorize the Company or its officials to CALL or SMS me on my Mobile No as mentioned aforesaid with regard to any of the services as mentioned in the Preceding Paragraph.
3. I hereby declare that My Mobile No. is not registered under "Do Not Disturb" directory and I am fully aware of the guidelines issued by the Telecom Regulatory Authority of India (hereinafter referred to as "TRAI") with regard to the same.
4. I hereby undertake to inform the Company beforehand in case I register my abovementioned mobile No under "Do Not Disturb" directory in future.
5. I hereby undertake to indemnify the Company in case any action is taken by the TRAI against the Company on account of rendering services to me as mentioned in Point No 1.
6. I hereby declare that I am opting this service without any pressure, duress, coercion from the Company or any of its officials and I know the implications/Consequences of availing the Services as mentioned hereinabove.
7. I hereby undertake to abide by the terms and conditions for availing the services as mentioned hereinabove, which are in addition to the other terms and condition mentioned in the Member Client Agreement and in no manner are in derogation of the terms and conditions mentioned in the Member Client Agreement.

Witness Name : _____

Address : _____

Client Signature : _____

REQUEST FOR DEBIT CARD FACILITY

To,

Date : ____ / ____ / ____

4A SECURITIES LIMITED

Regd. & Corporate Office:

225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025

Tel : +91-11-49002200 | E-mail : info@4asecurities.com

Website : www.4asecurities.com

Client Code : _____

I/We request you to allow me /us to use the following debit card for electronic fund transfer using the visa payment gateway. I/ We understand that the facility is provided to me/us at my/our request and such facility will be restricted to electronic fund transfer to my trading account with 4A SECURITIES LIMITED under the captioned client code.

Bank Name : _____

Debit Card No. :

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

Valid Thru :

			/		
--	--	--	---	--	--

Name on the Card : _____

I/We hereby confirm that the aforesaid debit card is issued against the below bank account details :

Account No. :

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

Branch : _____

I/We hereby confirm that above mentioned bank and debit card details belongs to me/us and the bank is an updated in your records.

Debit card issued against existing bank details updated with 4A SECURITIES LIMITED Yes No

(In case No please attach the Change Request Form for Addition of Bank details for trading account.)

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

Client Name	
Signature	

(Space For Office use)

ELECTRONIC CLEARING SERVICE (DEBIT) CLEARING / DIRECT DEBIT

To,

4A SECURITIES LIMITED

Regd. & Corporate Office:
 225, DLF Tower A, Jasola Vihar, Jasola, New Delhi-110025
 Tel : +91-11-49002200 | E-mail : info@4asecurities.com
 Website : www.4asecurities.com

4A SL DP Client Code

I Code

Mandate Reference No.

The Manager

Bank Name : _____

Branch Name : _____

Branch Address : _____

I hereby authorize you to debit my account for making payment to 4A SECURITIES LIMITED through ECS (Debit) clearing / Direct Debit as per the details given as under.

A. DIGIT CODE NUMER OF THE BANK BRANCH :

B. ACCOUNT TYPE : Saving Current

C. ACCOUNT NUMBER :

D. Account Holder Name :

1st A/c Holder _____ 2nd A/c Holder _____ 3rd A/c Holder _____

DP Client Code with 4A Securities Limited	Name of the Plan/Scheme	Specify your ECS/Direct Debit Tenure		Periodicity (Monthly/Bi Monthly)	Amount (Upper Limit)
		Start Date	End Date		
		DD/MM/YYYY	DD/MM/YYYY		

E. Date of effect : ____/____/____

I/We hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold 4A SECURITIES LIMITED responsible. I have read the letter and agree to discharge the responsibility expected of me as a participant under the scheme.

This is to inform that I/We have registered for the RBI's Electronic Clearing Service (Debit Clearing)/Direct Debit/Standing Instruction and that my payment towards the above mentioned scheme with 4A SECURITIES LIMITED shall be made from my /our above mentioned bank account with your bank. I/We authorize the representative carrying this ECS (Debit Clearing) /Direct Debit/Standing instruction mandate form to get it verified & executed.

I agree to pay the necessary charges for ECS / Direct Debit facility as prevailing from time to time.

Date: ____/____/____ Signature(s) of the account holder(s). (As per bank's record)

1st _____ 2nd _____ 3rd _____

FOR BANK USE ONLY

Certified that the bank account details and signatures of the account holders are correct and as per bank's records.

Date : ____/____/____

Stamp & Signature of the Authorized Official of the Bank



ECS / DIRECT DEBIT TRANSACTION DATES / CHARGES / T&C / INSTRUCTIONS

1. Frequency of Transaction (select any one and mentioned the date when your account should be actually debited):

In case of any national, state, regional holiday on specified transaction date then such transaction will be processed on immediate next working day

<input type="checkbox"/> Monthly : Transaction Date : ____/____/____ ECS/Direct Debit Amount : _____	<input type="checkbox"/> Bio Monthly : Transaction Date : ____/____/____ ECS/Direct Debit Amount : _____
---	---

2. Following charges will be applicable for all ECS / Direct Debit per transaction (levied in trading account):

Charges	Approximate Total Charges (Exclusive of ST)
ECS/DIRECT DEBIT mandate Registration / Rejection Fee	Rs 23 to Rs 25
ECS/DIRECT DEBIT transaction fee (per successful transaction)	Rs 5 to Rs 12
ECS/DIRECT DEBIT Failure charge (per transaction failure)	Rs 5 to Rs 12

3. Terms & Conditions:

- a) ECS / Direct Debit registration fee and transaction fee will be debited to client's trading account as applicable from bank to bank and details mentioned above. Above mentioned charges are inclusive of RBI charges.
- b) Client's bank may reject client's application for registration of ECS / Direct debit in case signature differs from signature in bank records then in such a case mandate rejection charges will be debited to client's trading account.
- c) If some banks and their branches are not equipped with such facility then such banks may refuse / reject such registrations and hence customer is requested to check with their banks prior to such ECS / Direct Debit registration then in such case mandate rejection charges will be debited to client's trading account.
- d) ECS / Direct Debit registration process may take up to 45 days from submission and hence 1st ECS / direct debit will be processed after 45 days of such successful submission / processing.
- e) ECS / Direct debit transaction fee will be levied for both successful and unsuccessful transaction.
- f) In case of ECS / Direct Debit failure due to insufficient balance in client's bank account, ECS / Direct Debit Failure charge will be debited to client's trading account.
- g) In case of transaction failure, client's bank may levy with additional charges based their policy.
- h) List of ECS locations and banks for Direct Debit (refer FAQs for the list) may be modified/updated/changed/removed depending on the availability of said service through the service provider and/or notification issued by the regulator(s). If any ECS location/Direct Debit bank is removed, TSP instruction of such client via ECS/DD route will be discontinued without prior notice. In such case client would be required to fund the account for TSP transactions.
- i) Client will not hold 4A SL and its service providers responsible if the transaction is delayed or not affected or the client's bank account is debited in advance or after the TSP dates, due to unavoidable circumstances.
- j) If registered ECS / Direct Debit needs to be stopped, then client has to give written intimation 15 days prior to the transaction trigger date.
- k) In case of client unsubscribing the plan(s)/scheme of 4A SL, it will be the client's responsibility to cancel the ECS/Direct Debit Instruction.
- l) 4A SL and its service providers shall not be held responsible nor liable for any damages / loss / compensation, etc incurred by the client. The client assumes the entire risk of using this facility and takes full responsibility.

4. INSTRUCTION FOR FILLING UP ECS / DIRECT DEBIT MANDATE

1. Form to be filled up in CAPITAL LETTERS only.
2. Three copies of ECS form need to be filled up in original. (one for client, one for 4A SL and one for Bank)
3. One original Personalized cancelled cheque leaf to be attached with.
4. 9 digit MICR code, as per the bank cheque leaf should be mentioned.
5. Signature on the ECS form should match with the Signature as per Bank.
6. Bank details provided above should match with the details given to 4A SL for banking.
7. No third party bank details will be accepted for such ECS / Direct Debit.
8. "Specify your ECS tenure" on page 1 is the time period for which ECS / Direct Debit will remain active. For example 1st April 2012 to 31st March 2015, i.e; active for 3 years.
9. "Date of effect on page" 1 is specified by the client when the ECS facility should be started after taking into consideration 45 days for ECS registration.

Trading / Client Code : _____ Location Code (if any) : _____

Client Name : _____ Client's PAN No. : _____

a) I have gone thru details of process; FAQ's before signing Mandate and Charges forms. b) I have contacted my bank branch and have confirmed of having such ECS / Direct Debit facility before registering and signing such forms. c) I have read, understand and agree to abide by aforesaid terms and conditions.	Client Signature
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SCHEDULE OF CHARGES FOR DEPOSITORY SERVICES

PARTICULARS	SCHEME A	SCHEME-B
Account Opening	NIL	NIL
Annual Maintenance Individual/HUF/NRI	₹ 300/-	N.A.
Annual Maintenance Corporate	₹ 1000/-	N.A.
Life Time Annual Maintenance Individual/HUF/NRI	N.A.	₹ 1000/-
Document + Stationary Charges	₹ 50/-	₹ 50/-
POA Stamp + Notary Charges*	NIL	NIL
Incoming of Shares	NIL	NIL
Outgoing of Shares (Off Mkt/Inter-Dp/Other) – Per Instruction & Per Scrip	@ .03% of the value of securities, Min. ₹ 20/-	@ .03% of the value of securities, Min. ₹ 18/-
Pledge/Hypothecation - Creation/Closure/ Invocation – Per Instruction & Per Scrip	@ .05% of the value of securities, Minimum ₹ 100/- per Scrip	@ .05% of the value of securities, Minimum ₹ 100/- per Scrip
Demat processing charges	₹ 50/- per scrip (Up to 25 certificate) + ₹ 5/- per additional certificate	₹ 50/- per scrip (Up to 25 certificate) + ₹ 5/- per additional certificate
Remat processing charges	₹ 100/- per security (per 100 qty.)	₹ 100/- per security (per 100 qty.)
Delivery Instruction Booklet**	₹ 25/- per booklet (containing 10 leaves)	₹ 25/- per booklet (containing 10 leaves)

NOTES:

1. Any service not listed above will be charged for extra.
2. Non-execution of delivery instruction due to any problem/error-courier charges ₹ 30/- per communication /dispatch.
3. Modifications in client master ₹ 25/- per instance.
4. Delivery instructions accepted at client's sole risk within 24 hours of execution date. DP not liable for any damage thereof.
5. Non-periodic statement and other communications shall be charged @ ₹ 5/- per page and postage/courier charges @ ₹ 30/- per mail.
6. In case Bank mandate for debit through ECS is not given, minimum credit balance of ₹ 500/- shall be maintained as advance towards future charges.
7. In case of foreign correspondence address, in addition to annual account maintenance charges, statement /communication charges @ ₹ 50/- per mail shall be charged extra.
8. In case of non-payment of bill/dues within 15 days of due date, the depository services are liable to be discontinued within a period of 30 days from the date of demand. The renewal charges for resuming the services will be ₹ 100/-.
9. In case of any upward revision in schedule of charges, 30 days notice would be given by publication in newspaper or by post or on register Email id or via website would be given. Charges/service standard are subject to revise at sole discretion of 4A SECURITIES LIMITED
10. In case of Demat rejection postage shall be charged @ ₹ 30/- for dispatch to the client for removal of objection.
11. Taxes and other government levies extra as applicable from time to time.
12. *Additional ₹135/- for activating POA in existing account if not opted at the time of account opening (towards stamp paper & notary charges).
13. The client must provide their email id for open an account in scheme B & in every scheme the statement will be provided to client by Email only.
14. **Issue of DI book depends on DP's sole discretion
15. Charges may be debited to my Broking Account - _____

My email id _____ is also I have read and Understood the schedule of charges prescribed above and agree to abide by same. And I like to join below mention scheme SCHEME-A SCHEME-B (X which is not applicable and ✓ which is applicable)

	1st Holder	Second Holder	Third Holder
Name			
Signature	★ 21. SIGN	★	★

Depository Participant.....

Client Code	<input type="text"/>
Client Name	<input type="text"/>
Branch Code	<input type="text"/>
Branch Name	<input type="text"/>
Date of Regn.	<input type="text"/>
Recommended By	<input type="text"/>



EQUITY | COMMODITY | FINANCE | REAL ESTATE

4A SECURITIES LIMITED

Members: NSE, BSE, MCX, NCDEX, DP-CDSL

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