

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and Whole Time Directors and persons authorised to deal in securities on behalf of Company / Firm / Others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities 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. PAN card with clear photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
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, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

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

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

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

## Instructions/Checklist to the Applicants (BOs) for Account Opening

### 1. Additional documents in case of trading in Derivatives segment - Illustrative List








The Client is required to give any one of the following document as financial proof.

#### List of Illustrative documents:

- Copy of ITR Acknowledgment
- Copy of Holding statement of de-mat account
- In case of salary income - Salary Slip, Copy of Form 16
- Net-worth certificate
- Bank account statement for last 6 months
- Copy of Holding statement of de-mat account
- Any other relevant documents substantiating ownership of assets
- Self declaration along with relevant supporting

\* In respect of other Client, document as per risk management policy of the Stock Broker need to be provided by the Client from the time to time.

2. Signatures can be in English or 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 / Special Executive Officer under his/her official seal.
3. Signatures should be preferably in black ink.
4. Details of the Names, Addresses, Telephone Number(s) etc. of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be available in case of attestation done by any of them.
5. **For individuals:**
  - a. In case of non-resident clients, employees at the stock broker's local office, (subject to NRI Client's availability in India), and/or Overseas office 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 is to be submitted.
6. **For non-individuals:**
  - a. Form needs to be initialed 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 is required.
7. In case of additional signatures (for accounts other than individuals), separate annexure should be attached to the account opening form.
8. 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.
9. Demat master or recent holding statement issued by DP bearing name of the client to be submitted.
10. All correspondence / queries shall be addressed to the first / sole applicant.
11. Strike off whichever option, in the account opening form, is not applicable.

<b>Notes: Below mentioned Symbols denote various signatures approximately</b>		
	Client -1 <sup>st</sup> Holder	- 18 Signature
	2 <sup>nd</sup> Holder	- 14 Signature (In case of Joint Account)
	3 <sup>rd</sup> Holder	- 11 Signature (In case of Joint Account)
	Non-Individual	- 18 Signature
	MEL authorized	- 8 Signature
	Introducer	- 1 Signature
	Sub-Broker	- 1 Signature

## INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Pg. No.
<b>MANDATORY FORM AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist (To be filled by customer)	1 - 16
		B. Document captures the additional information for Trading and Demat Account.	
2.	Tariff Sheet	Document detailing the demat fee schedule & rate/amount of brokerage charges levied on the client for trading on the stock exchange(s).	17
<b>VOLUNTARY FORM AS PROVIDED BY THE STOCK BROKER</b>			
3.	Regular Demat Account	Declaration for opting for Regular Services Demat Account	18
4.	ECN Authorization	Mandate to issue Contract & Other Communication in Digital format	19
5.	Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]	20-21
6.	Authorisation for Running Account	Authorization of Running Account.	22
7.	Declaration for common E-mail Id & Mobile No.	Declaration for common E-mail Id & Mobile No.	22
8.	DIS Request Form	Option Form for Issue of DIS Booklet	23
9.	FATCA Declaration	Additional Mandatory details required under section 285BA of IT Act, 1961 FATCA & Other Reportable Accounts Related Certification-cum Undertaking for Individuals	24
10.	Board Resolution	Draft Board Resolution to be printed on letter head of Company	25
11.	NACH/ECS/Auto Debit Mandate Instruction Form	Mutual Fund ECS mandate registration form.	26-27
12.	Mutual Fund	Mutual Fund Subscription	

### MANDATORY DOCUMENT AS PRESCRIBED BY SEBI & EXCHANGES

11.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges.	1 - 4
12.	Internet & wireless technology based trading facility	Rights and Obligations in respect of internet and wireless technology based trading facility.	5
13.	Rights and Obligations of Beneficial Owner and Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	6 - 8
14.	Rights and Obligation Documents for Margin Trading Facility	Rights and Obligation Documents for availing Margin Trading Facility as prescribed by exchanges /SEBI	9 - 14
15.	Risk Disclosure Document (RDD)	Document detailing Risks associated with dealing in the securities market.	15 - 17
16.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	18 - 19
17.	Policies & Procedures	Various policies and procedures applied by the Member/ Depository Participant.	20 - 22
18.	Information on prevention of money laundering act 2002, (PMLA)	Brief note on PMLA for Client Information	23
19.	Additional Guidance Note for DP	Document detailing do's and don'ts for DP, for the education of the investors.	24

**Note:** Booklet 1 to be filled by client and returned to MEHTA EQUITIES LTD. Booklet 2 to be read, understood and retained by the client for future reference.



C-KYC Number

Application Type\*:  New KYC  Modification KYC

KYC Mode\*:  Normal  EKYC OTP  EKYC Biometric  
 Online KYC  Offline EKYC  Digilocker

First Holder

Application No. :

**Know Your Client (KYC)**

**Application Form (For Individuals Only)**

Please fill in ENGLISH and in BLOCK LETTERS

**A. Identity Details (please see guidelines overleaf)**

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

Name

Father's / Spouse Name

Mother Name

Maiden Name (If any\*)

2a. Gender  Male  Female  Transgender 2b. Marital Status  Single  Married

2c. Date of Birth

3. Nationality  Indian  Other (please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident Indian  Person of Indian Origin  Foreign National (Passport Copy Mandatory for NRI's & Foreign Nationals)

5. PAN  Aadhaar No. if any:

6. Proof of Identity (POI) :  PAN Card  Others (please specify) \_\_\_\_\_

7. Proof of Identity submitted for PAN exempt cases Please tick (✓)

UID (Aadhaar) XXXX XXXX \_\_\_\_\_  Passport  Votor ID  Driving Licence  NREGA Job Card  NPR  
 Others \_\_\_\_\_ (please see guideline 'D' overleaf) (any other document notified by Central Government)

Identification No. \_\_\_\_\_

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it

1/18

**B. Address Details (please see guidelines overleaf)**

1. Address of Residence / Correspondence

City/Town/Village  Pin Code   
 State  Country

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

2. Permanent Address of Resident Applicant if different from B1 above OR Overseas Address (Mandatory) for Non-Resident Applicant

City/Town/Village  Pin Code   
 State  Country

Proof of Address \* ( attested copy of any one POA to be submitted)

UID (Aadhaar) XXXX XXXX \_\_\_\_\_  Passport  Votor ID  Driving Licence  Ration Card  Registered Lease/Sale Agreement of Residence  
 \*Latest Bank A/c Statement/ Passbook  \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  
 NREGA Job Card  NPR  Others \_\_\_\_\_ (please see guideline 'D' overleaf) (any other document notified by Central Government)

Identification No. \_\_\_\_\_

Others (Please specify) \_\_\_\_\_ \*Not more than 3 month old. Validity/Expiry date of proof of address submitted

3. Contact Details

Tel. (Off.)	(ISD)	(STD)			Tel. (Res)	(ISD)	(STD)		
Mobile	(ISD)	(STD)			Fax	(ISD)	(STD)		
E-mail Id									

**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.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/ email address.

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

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

<b>Applicant e-SIGN</b>	<b>Applicant Wet Signature</b>
2/18	

**FOR OFFICE USE ONLY**

<b>In-Person Verification (IPV) carried out by*</b>	<b>Intermediary Details</b>
MEHTA EQUITIES LIMITED ( )	IPV Date : _____
<input type="checkbox"/> Self Certified Document Copies received (Originals Verified)	Emp. Name _____
<input type="checkbox"/> True Copies of documents received (Attested)	Designation _____ Emp. Code _____
AMC /Intermediary Name :	Signature  1/8 Date: _____





C-KYC Number

Application Type\*:  New KYC  Modification KYC

KYC Mode\*:  Normal  EKYC OTP  EKYC Biometric

Online KYC  Offline EKYC  Digilocker

Application No. :

Second Holder

**Know Your Client (KYC)**

**Application Form (For Individuals Only)**

Please fill in ENGLISH and in BLOCK LETTERS

**A. Identity Details (please see guidelines overleaf)**

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

Name

Father's / Spouse Name

Mother Name

Maiden Name (If any\*)

2a. Gender  Male  Female  Transgender 2b. Marital Status  Single  Married

2c. Date of Birth

3. Nationality  Indian  Other (please specify) \_\_\_\_\_

4. Status Please tick (✓)  Resident Individual  Non Resident Indian  Person of Indian Origin  Foreign National (Passport Copy Mandatory for NRI's & Foreign Nationals)

5. PAN  Aadhaar No. if any:

6. Proof of Identity (POI) :  PAN Card  Others (please specify) \_\_\_\_\_

7. Proof of Identity submitted for PAN exempt cases Please tick (✓)

UID (Aadhaar) XXXX XXXX \_\_\_\_\_  Passport  Votor ID  Driving Licence  NREGA Job Card  NPR

Others \_\_\_\_\_ (please see guideline 'D' overleaf) (any other document notified by Central Government)

Identification No. \_\_\_\_\_

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

✓ 1/14

**B. Address Details (please see guidelines overleaf)**

1. Address of Residence / Correspondence

City/Town/Village  Pin Code   
State  Country

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

2. Permanent Address of Resident Applicant if different from B1 above OR Overseas Address (Mandatory) for Non-Resident Applicant

City/Town/Village  Pin Code   
State  Country

Proof of Address \* ( attested copy of any one POA to be submitted)

UID (Aadhaar) XXXX XXXX \_\_\_\_\_  Passport  Votor ID  Driving Licence  Ration Card  Registered Lease/Sale Agreement of Residence

\*Latest Bank A/c Statement/ Passbook  \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill

NREGA Job Card  NPR  Others \_\_\_\_\_ (please see guideline 'D' overleaf) (any other document notified by Central Government)

Identification No. \_\_\_\_\_

Others (Please specify) \_\_\_\_\_ \*Not more than 3 month old. Validity/Expiry date of proof of address submitted

3. Contact Details

Tel. (Off.)	(ISD)	(STD)			Tel. (Res)	(ISD)	(STD)		
Mobile	(ISD)	(STD)			Fax	(ISD)	(STD)		
E-mail Id									

**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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/ email address.

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

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

✓ 2/14

Applicant e-SIGN

Applicant Wet Signature

**FOR OFFICE USE ONLY**

<p><b>In-Person Verification (IPV) carried out by*</b></p> <p><b>MEHTA EQUITIES LIMITED</b> ( )</p> <p><input type="checkbox"/> Self Certified Document Copies received (Originals Verified) <input type="checkbox"/> True Copies of documents received (Attested) AMC /Intermediary Name :</p>	<p><b>Intermediary Details</b></p> <p>IPV Date : _____ Emp. Name _____ Designation _____ Emp. Code _____ Signature  2/8 _____ Date: _____</p>
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Mehta Equities Ltd.

Application No. :

Second Holder

ADDITIONAL DETAILS FOR CENTRAL KYC REGISTRY | Individual

Important Instructions:

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (I) in the box available before the section number and strike off the sections not required to be updated.



**For office use only** (To be filled by financial institution)

Application Type\*  New  Update

KYC Number  (Mandatory for KYC update request)

Account Type\*  Normal  Simplified (for low risk customers)  Small

1. PERSONAL DETAILS

Maiden Name (If any\*)

Mother Name\*

2. TICK IF APPLICABLE  RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

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

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

3. PROOF OF IDENTITY (PoI)\*

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

A- Passport Number Passport Expiry Date  -  -

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date  -  -

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

S- Simplified Measures Account - Document Type code  Identification Number

4. ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details  Same as Correspondence / Local Address details

Line 1\*

Line 2

Line 3  City / Town / Village\*

State\*  ZIP / Post Code\*  ISO 3166 Country Code\*

5. DETAILS OF RELATED PERSON

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available)\*

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Name\*  Prefix  First Name  Middle Name  Last Name

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON\*

A- Passport Number Passport Expiry Date  -  -

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date  -  -

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

S- Simplified Measures Account - Document Type code  Identification Number

6. APPLICANT 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.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number /email address.

Date  -  -  Place:

3/14  
Signature / Thumb Impression of Applicant



Know Your Client (KYC) Application Form (For Non-Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS



C-KYC Number

Grid for C-KYC Number

Application No. :

Application Type\*:  New KYC  Modification KYC

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. please do not abbreviate the Name)

Grid for Name of Applicant

2. Date of Incorporation [d d / m m / y y y y] Place of Incorporation

3. Registration No. (e.g. CIN) [ ] Date of commencement business [d d / m m / y y y y]

4. Status Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust/Charities/NGO's  HUF  FI  FII  AOP  FPI Category I  FPI Category II  FPI Category III  Bank  Government Body  Non - Government Organization  Defence Establishment  Body of Individuals  Society  LLP  Others (Please Specify)

5. Permanent Account Number (PAN) (MANDATORY) [ ] Please enclose a duly attested copy of your PAN Card

B. Address Details (please see guidelines overleaf)

1. Address of Correspondence

Grid for Address of Correspondence with fields for City/Town/Village, State, Pin Code, Country

2. Contact Details

Grid for Contact Details with fields for Tel. (Off.), Mobile, E-mail Id, Tel. (Res), Fax

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 Registered Lease / Sale Agreement of Office Premises \*Any other proof of address document (as listed overleaf) (please specify) \*Not more than 3 month old. Validity/Expiry date of proof of address submitted [d d / m m / y y y y]

4. Registered Address (If different from above)

Grid for Registered Address with fields for City/Town/Village, State, Pin Code, Country

5. 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 Registered Lease / Sale Agreement of Office Premises \*Any other proof of address document (as listed overleaf) (please specify) \*Not more than 3 month old. Validity/Expiry date of proof of address submitted [d d / m m / y y y y]

C. Other Details (please see guidelines overleaf)

1. Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole Time Directors (Please use the Annexure to fill in the details)

2. 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.

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

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

1/18

FOR OFFICE USE ONLY

MEHTA EQUITIES LIMITED ( )

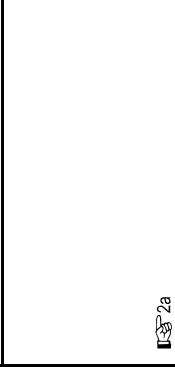

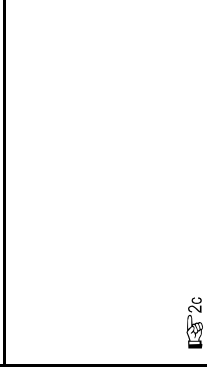
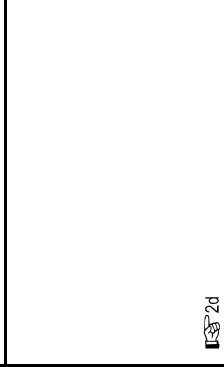
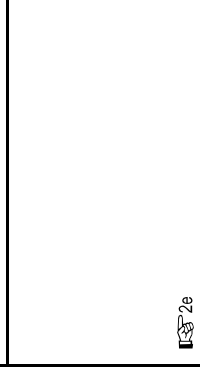
(Originals Verified) Self Certified Document Copies received  (Attested) True Copies of documents received

Form for office use with fields for Seal/Stamp, Staff Name, Designation, Name of the Organization, Signature, Date



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 : ( \_\_\_\_\_ )

Sr. No.	PAN	NAME	DIN (for Directors) / Aadhar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	PHOTOGRAPH
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	 2a
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	 2b
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	 2c
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	 2d
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	 2e



PEP : Politically Exposed Person  
RPEP : Relative to Politically Exposed Person

Mehta Equities Ltd.

Date : 

d	d	/	m	m	/	y	y
---	---	---	---	---	---	---	---

Name & Signature of the Authorised Signatory(ies)

## DECLARATION IN CASE OF HUF

From:

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

(Address of HUF) : \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

To,

**MEHTA EQUITIES LIMITED**

Regd. Off.: 903, Lodha Supremus,

Dr. E. Moses Road, Worli Naka, Mumbai - 400 018.

Tel.: +91 22 6150 7100 Fax: +91 22 6150 7102

E-mail: rslcds@mehtagroup.in, info@mehtagroup.in

Dear Sir,

Re.: Application for HUF Account: Trading A/c. \_\_\_\_\_ Demat A/c. \_\_\_\_\_

This is with reference to my application for HUF account to be opened with Mehta Equities Limited. I would like to furnish the following details as required to process the above said account opening form.

Being Karta of my family, I hereby declare that following is the list of Co-parceners in our HUF.

Name of Co-parcener	Sex (M\F)	Date of Birth	Relationship with HUF

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

I agree any false / misleading information given by me or suppression of any material information will render my said account liable for termination and further action.

Further, I agree that I will immediately intimate any changes in the constitution of the HUF.

Thanking you,  
Yours truly,

3/18

(Name & Signature of Karta with HUF stamp)

## TRADING ACCOUNT RELATED DETAILS

### DEPOSITORY ACCOUNT(S) DETAILS

Particulars	(1)	(2)	(3)
DP Name			
DP Address			
DP ID			
Client Name (1st Holder)			
Client ID			
UCC No.			
2nd holder's Name			
3rd holder's Name			
Default A/c (Any One)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

- 1) Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form with sole holder or first holder as the case may be.
- 2) DP statement should clearly show DP ID & Client ID.
- 3) In case NRI's proof of Demat Account should be only with NRI status.

### BANK ACCOUNT(S) DETAILS OF SOLE / FIRST HOLDER

Bank Name										
Branch Name										
Branch Address										
City		State		Country		PIN				
Bank A/c. No.										
A/c. Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____									
MICR Number						IFSC Code				
Proof of Bank Submitted	<input type="checkbox"/> Bank Statement <input type="checkbox"/> Cancelled Cheque (with client name and A/c. no. printed) <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Bank Verification Letter (original)									

### TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Segment	BSE	NSE	MSEI
<b>Cash Segment</b>	4a/18  4a/18	4a/18  4a/18	4a/18  4a/18
<b>F&amp;O</b>	4a/18  4a/18	4a/18  4a/18	4a/18  4a/18
<b>Currency</b>	4a/18  4a/18	4a/18  4a/18	4a/18  4a/18
<b>Mutual Fund</b>	4a/18  4a/18	4a/18  4a/18	4a/18  4a/18
<b>Debt</b>	4a/18  4a/18	4a/18  4a/18	4a/18  4a/18
<b>SLBS</b>	4a/18  4a/18	4a/18  4a/18	4a/18  4a/18
<b>MTF</b>	4a/18  4a/18	4a/18  4a/18	4a/18  4a/18

# 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.

## BROKERAGE TARIFF SHEET

**Cash**

Brokerage Scheme

	Trading		Delivery	
	%	Min.	%	Min.
1st Leg				
2nd Leg				

Preferred ageing : T + \_\_\_\_\_

**F & O**

	Future		Option	
	%	Min.	%	Min.
1st Leg				
2nd Leg				

**Currency Per Lot**

1st Leg	2nd Leg	Next Day
Rs.	Rs.	Rs.

### ADDITIONAL DETAILS

Facilities For Trading	Whether you wish to avail the facility of <input type="checkbox"/> Internet Trading <input type="checkbox"/> Wireless technology (Mobile Trading)
Contract Note	Whether you wish <input type="checkbox"/> Electronic Contract Note (ECN) <span style="color: grey; font-size: small;">Please specify your email id</span> to receive <input type="checkbox"/> Physical Contract Note
Educational Qualification	<input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional
Investment/Trading Experience	<input type="checkbox"/> Years in Stocks <input type="checkbox"/> Years in Derivatives <input type="checkbox"/> No Prior Experience

In case of Non-Individuals, Name, Designation, PAN, UID, Signature, Residential Address and Photographs of persons authorised to deal in securities on behalf of Company / Firm / Others \_\_\_\_\_

Any other information \_\_\_\_\_

### SMS AND EMAIL ALERTS FACILITY BY STOCK EXCHANGES/CDSL

I/We accord our consent to receive the following: a) SMS alerts  Yes  No b) Email alerts  Yes  No

The mobile number and email Id as specified in the KRA KYC shall be used for the purpose of receiving details of various transaction.

Mobile No. \_\_\_\_\_ Mobile No. is registered in the name of  Self  Spouse  Parents  Dependent Children

Email Id. \_\_\_\_\_ Email Id is registered in the name of  Self  Spouse  Parents  Dependent Children

### PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority/regulatory against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, whether in terms of criminal or civil proceedings by any enforcement agency worldwide.

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### INFORMATION IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002

Funds Detail	Do you intend to invest in the stock market with : <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds																																								
Name	Details of the relatives, having account with Mehta Equities Ltd. <table border="1" style="width: 100%; height: 20px;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																																								
Relationship	<table border="1" style="width: 100%; height: 20px;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table> <div style="display: inline-block; margin-left: 20px;">UCC</div> <table border="1" style="width: 100%; height: 20px; margin-left: 20px;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																																								

Name	Details of the corporate/partnership firm/trust, etc where client is affiliated	
Relationship		UCC
Nature of Business		Entity Type

### DEALING THROUGH OTHER STOCK BROKERS

If you are dealing with any other stock broker/ Sub broker / Authorised Person, provide the following details:  
(in case dealing with multiple stock broker/ Sub broker / Authorised Person, provide details of all)

Name of Stock broker		Client Code	
Name of Sub broker/		Exchange	
Authorised Person	Details of disputes/dues pending from/to such stock broker / Sub broker / Authorised Person_____		

### DEALING THROUGH REGISTERED SUB BROKER / AUTHORISED PERSON

If you are dealing through Mehta Equities Ltd. Sub-broker / Authorised Person, provide the following details:

Name		BSE SEBI Regn. No.	
Regd. Off. Address		NSE SEBI Regn. No.	
		MSEI SEBI Regn. No.	
Signature (Sub-broker/AP)	Tel. No	Remisier / AP	
	Fax No.	Remisier / AP	
	Website	Remisier / AP	

### COMMON DETAILS FOR TRADING AND DEMAT

#### OTHER DETAILS

Gross Annual Income details	Income range per annum (Individuals / Non-Individuals)		
	<input type="checkbox"/> Up to Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,000/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,000/- to Rs. 10,00,000/- <input type="checkbox"/> Rs. 10,00,000/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,000 to Rs. 1,00,00,000/- <input type="checkbox"/> More than Rs.1,00,00,000/-		
Net worth as on Date: _____ Rs. _____ (Net worth should not be older than 1 year)			
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify)_____		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)		
Any other information			

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.

### INTRODUCER DETAILS (OPTIONAL)

Introducer Name: \_\_\_\_\_  
 Address : \_\_\_\_\_  
 Code (if any) : \_\_\_\_\_ Tel. No.: \_\_\_\_\_  
 Status of Introducer :  Sub-broker  Remisier  Authorised Person  Existing Client  Others \_\_\_\_\_  
 Signature of the Introducer : **I** <sup>1/1</sup> \_\_\_\_\_

### Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Medium Risk	Low Risk	CSC (Client Under Special Category)	PEP (Politically Exposed Person)

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Mehta Equities Ltd.

For Mehta Equities Ltd.


**NOMINATION DETAILS** (To be filled in by individual applying singly or jointly)

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

I/We wish to make a nomination. [As per details given below]

 Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

<b>BO Account Details</b> (Only for individual account to be signed by all registered holders)											
<b>DP Client ID</b>											<b>UCC</b>
Name of the Sole / First Holder											
Name of Second Holder											
Name of Third Holder											

**Nomination Details** (Nomination can be made upto three nominees in the account.)

\*Marked as Mandatory Field

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our Trading &amp; Demat account in the event of my/our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name *First Name Middle Name *Last Name	----- ----- -----	----- ----- -----	----- ----- -----
Share of each Nominee <input type="checkbox"/> Equally [If not equally, please specify percentage]	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
	%	%	%
Relationship with the Applicant (If Any)			
*Address of Nominee(s) *City *State *PIN *Country			
Telephone /Mobile No. of nominee(s)			
E-mail ID of nominee(s)			

**Nominee Identification details [Please tick any of the following and provide details of the same]**

<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Aadhaar <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Proof of Identity			
--	--	--	--

**Below details to be filled only if nominee(s) is a minor:**

Date of birth (mandatory if nominee is a minor)			
Name of the Guardian of Nominee (if the nominee is minor):	Nominee 1	Nominee 2	Nominee 3
*First Name Middle Name *Last Name	----- ----- -----	----- ----- -----	----- ----- -----
*Address of Guardian of nominee: *City *State *PIN *Country			
Telephone / Mobile No.			
E-mail ID			
*Relationship of the Guardian with the Nominee:			

**Guardian Identification details [Please tick any of the following and provide details of the same]**

<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Aadhaar <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Proof of Identity			
--	--	--	--

Place		Date	D	D	M	M	Y	Y	Y	Y
Name	First/Sole Holder	Second Holder	Third Holder							
Signature	5/18	4/14	1/11							

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

**Note:** • This nomination shall supersede any prior nomination made by the account holder(s), if any.

• The Trading Member / Depository Participant shall provide acknowledgment of the nomination form to the account holder(s)



**Mehta Equities Ltd.**  
903, Lodha Supremus, Dr. E.moses Road, Worli Naka, Mumbai - 400 018.

**Declaration Form for opting out of nomination**

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Date 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

<b>DP Client ID</b>		<b>UCC</b>	
Name of the Sole / First Holder			
Name of Second Holder			
Name of Third Holder			

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

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

Place					Date	D	D	M	M	Y	Y	Y	Y
Name	First/Sole Holder	Second Holder	Third Holder										
Signature	6/18	5/14	2/11										

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



**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT**

**(To be filled by the Depository Participant)**

Application No.

Date

DP Internal Reference No.

DP ID **1 2 0 1 3 7 0 0**

Client ID

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

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

Sole / First Holder's Name	PAN																		
	UID																		
	UCC																		
Second Holder's Name	PAN																		
	UID																		
	UCC																		
Third Holder's Name	PAN																		
	UID																		
	UCC																		

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

\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the demat account is opened in the name of the natural persons, the name of the firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

**Type of Account (Please tick whichever is applicable) INDIVIDUAL**

Status	Sub-Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Director Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Other (specify)_____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI-Depository Receipt <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Other (specify)_____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipt <input type="checkbox"/> Other (specify)_____

**Type of Accounts (Please tick whichever is applicable) NON - INDIVIDUAL**


Status		Sub-Status
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Funds <input type="checkbox"/> OCB <input type="checkbox"/> FIT <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Cleaning House <input type="checkbox"/> Other (Specify)_____		<b>To be filled by the DP</b>
<b>Corporate Sub-Status</b>	<input type="checkbox"/> Domestic <input type="checkbox"/> Foreign Body <input type="checkbox"/> Group Company <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Others_____	
Place of Incorporation	Date of Incorporation	<input type="text"/>
	Date of Commencement of Business	<input type="text"/>
SEBI Registration No.	SEBI Registration Date	<input type="text"/>
ROC Registration No.	ROC Registration Date	<input type="text"/>
RBI Registration No.	RBI Registration Date	<input type="text"/>
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)_____	



**DETAILS OF PERSON AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM**


Individual's Full Name \_\_\_\_\_  
 Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code   
 State \_\_\_\_\_ Country \_\_\_\_\_ Gender  Male  Female  
 Designation \_\_\_\_\_ Date of Birth   
 Nationality \_\_\_\_\_ Tel.   
 UID   
 PAN

Recent  
Passport Size  
Photograph  
Only  
(Sign across)

 5a. 5/18


Individual's Full Name \_\_\_\_\_  
 Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code   
 State \_\_\_\_\_ Country \_\_\_\_\_ Gender  Male  Female  
 Designation \_\_\_\_\_ Date of Birth   
 Nationality \_\_\_\_\_ Tel.   
 UID   
 PAN

Recent  
Passport Size  
Photograph  
Only  
(Sign across)

 5b.


Individual's Full Name \_\_\_\_\_  
 Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code   
 State \_\_\_\_\_ Country \_\_\_\_\_ Gender  Male  Female  
 Designation \_\_\_\_\_ Date of Birth   
 Nationality \_\_\_\_\_ Tel.   
 UID   
 PAN





Recent  
Passport Size  
Photograph  
Only  
(Sign across)

 5c.

Individual's Full Name \_\_\_\_\_  
 Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 City/Town/Village \_\_\_\_\_ Pin Code   
 State \_\_\_\_\_ Country \_\_\_\_\_ Gender  Male  Female  
 Designation \_\_\_\_\_ Date of Birth   
 Nationality \_\_\_\_\_ Tel.   
 UID   
 PAN

Recent  
Passport Size  
Photograph  
Only  
(Sign across)

 5d.

Name of Authorized Person	Signatorise(s) along with Seal
	 6a. 6/18
	 6b.
	 6c.
	 6d.

**CLEARING MEMBER DETAILS (To be filled by CMs only)**

Name of the Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

**GUARDIAN DETAILS \*(Where sole holder is a minor)**

Guardian Name			
PAN			
Relationship of Guardian with minor			

\* For account of minor, two KYC application forms must be filled. ie. one for the guardian and another for the minor (to be signed by guardian)

**OTHER DETAILS**

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [[Mandatory , if you are giving Power of Attorney ( POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).		
<i>Easi</i>	To register for <i>easi</i> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.		
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')		(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further Instructions from my/our end (If not marked, the default option would be 'No')		<input type="checkbox"/> Yes <input type="checkbox"/> No	
DP Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____		<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)			
I/We wish to receive dividend/interest directly in to my bank account given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No	

**ADJUSTMENT OF CDSL BILL WITH TRADING ACCOUNT**

Do you wish to authorize to set off /adjust my debit balance in the Demat Account with the credit balance lying in Trading Account from time to time:-  Yes  No

7/18 7/18




**Signature of the client/Authorized Signatory**

## 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.
- #4) I/We have received and read the Guidance note describing rights and obligation of Margin Trading Facility as prescribed by the exchanges/SEBI for the purpose of availing MTF and I/We have agreed there upon.
- 5) I/ We have received and read the Guidance note detailing do's and don'ts for trading on exchanges, for the education of the investors.
- \*6) I/ We have received and the read the Documents describing Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories for the purpose of opening a Demat account and I/We have agreed there upon.
- \*7) I/ We have received and read the Guidance note detailing do's and don'ts for DP, for the education of the investors.
- 8) I/We have got a clear idea about all brokerage, commission, fees and other charges levied by Mehta Equities Ltd. for trading and \*Depository Account as per the relevant provision/ guidelines specified by the SEBI/ Stock Exchanges. I/We hereby acknowledge the same.

\* **Note** : Only for Clients who are operating Depository Account with Mehta Equities Ltd.




# **Note** : Only for Clients availing Margin Trading Facility

Name			
Signature of client / (all) Authorised Signatory(ies)	 8/18	 6/14	 3/11

Place	Date	D	D	M	M	Y	Y	Y	Y
-------	------	---	---	---	---	---	---	---	---

### 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	 5a. 5/8	 5b.	 5c.

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.

Date \_\_\_\_\_

 6/8

Signature of Authorised Signatory

Seal/Stamp of the stock broker

### Details of DP Schemes and Charges Applicable

Sr. No.	Particulars	SCHEME		
		<input type="checkbox"/> Investor Scheme	<input type="checkbox"/> Traders Scheme	<input type="checkbox"/> Basic Scheme
1.	<b>Account Maintenance Charges</b>	Individual ₹ 300/- for Yearly	Individual ₹ 1100/- for Life Time AMC	Individual ₹ 500/- (Holding value <50,000 = 0/- Amc, Holding value 50,000 < 2,00,000 = 100/- Amc and Holding value > 2,00,000 = 500/- Amc)
		Corporate ₹ 1000/-	N.A	N.A
2.	<b>Demat</b>	Per Certificate ₹ 25/- Plus Postal Charges ₹ 50/- Per ISIN	Per Certificate ₹ 25/- Plus Postal Charges ₹ 50/- Per ISIN	Per Certificate ₹ 25/- Plus Postal Charges ₹ 75/- Per ISIN
3.	<b>Remat</b>	Actual CDSL Charges + Postal Charges ₹ 100/-	Actual CDSL Charges + Postal Charges ₹ 100/-	Actual CDSL Charges + Postal Charges ₹ 100/-
4.	<b>Transaction Charges</b>			
	a) Within MEL Pay-in	0.02% (Subject to Min. of ₹ 20/- Max ₹ 100/-)	NIL	₹ 50/-
	b) Within MEL Bo to Bo	₹ 100/-	₹ 100/-	₹ 150/-
	c) Outside MEL DP	₹ 100/-	₹ 100/-	₹ 150/-
	d) Failed Transaction	₹ 25/-	₹ 25/-	₹ 25/-
	Normal Pledge / Unpledge / Conf.	₹ 100/-	₹ 100/-	₹ 100/-
	Margin Pledge / Unpledge / Conf.	₹ 10/-	₹ 10/-	₹ 10/-
	<b>Other Charges</b>			
	DIS Issue	₹ 50/-	₹ 50/-	₹ 50/-
	Demat Rejection	₹ 100/-	₹ 100/-	₹ 100/-
5.	<b>Extra Statement</b>	Soft Copy ₹ 10/- per req. Physical ₹ 30/- per req.	Soft Copy ₹ 10/- per req. Physical ₹ 30/- per req.	Soft Copy ₹ 10/- per req. Physical ₹ 30/- per req.
	Transaction Statement	₹ 15/-	₹ 15/-	Nil
	Miscellaneous Charges	Actual Charges (Erroneous transfer, penalties etc.)	Actual Charges (Erroneous transfer, penalties etc.)	Actual Charges (Erroneous transfer, penalties etc.)

**Notes :**

1. GST and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
2. POA Charges would be applicable as per actual.
3. For availing 'Easiest' facility of CDSL the charges as levied by CDSL would be collected from clients at actual.
4. CDSL Levies Rematerialization charges as higher of the following:
  - i) A fee of Rs 10/- for every 100 securities or part thereof; or
  - ii) A flat fee of Rs. 10/- per certificate
5. Postal charges for rejection of Demat/Remat shall be charged on actual.
6. I/We hereby authorise Mehta Equities Ltd., to debit all the Demat Account related charges to my/our Mehta Equities Ltd. Trading Account.

9/18 9/18

✓ 7/14

✗ 4/11

**First Holder**

**Second Holder**

**Third Holder**

**General Instructions:**

1. In case of non exercise of option, yearly scheme shall be applicable.
2. Blank & Signed Delivery Instruction Slips should not be left with your DP/Broker.
3. All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to pay in day as per SEBI Guidelines. All off Market Instructions for transfer must be received atleast 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.

**MEHTA**



**Mehta Equities Ltd.**

903, Lodha Supremus, Dr. E. Moses Road, Worli Naka, Mumbai - 400 018.

Dear Valued Client,

As per the directions of Regulatory Authorities, Depository Participants (DPs) are required to classify client's demat account under two categories – Regular Service Demat Accounts (RSDA) and Basic Service Demat Accounts (BSDA). It is mandatory to bring all accounts with holding value of less than Rs. 2 lakhs under BSDA category, unless the client opts otherwise.

In this BSDA category, the accounts with holding value below Rs. 50,000 shall not attract any Annual Maintenance Charges (AMC) and those account with holding value from Rs. 50,001 to Rs. 2,00,000 will be levied only Rs. 100 as AMC. BSDA accounts will be levied higher applicable AMC Charges on value of holdings exceeding prescribed limits. As and when the value of holdings exceeds the limit of Rs. 2 lakhs, automatically RSDA charges will be applied.

Please find the revised Tariff for BSDA and Regular accounts. If you wish to continue as a Regular Service Demat Account Holder (RSDA), you may please sign the option letter given below and return it to us at the earliest. In case we do not hear from you, your account will be classified as BSDA and the revised tariff will be effective from 1<sup>st</sup> June 2016. For any clarifications please contact the undersigned on our (022) 6150 7100

Assuring you of our best services as always.  
Mehta Equities Ltd.  
(022) 6150 7173

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**Declaration for opting for Regular Services Demat Account (RSDA)**

I/We do /do not wish to opt for Basic Service Demat Account (BSDA). I/We would like to continue to remain as BSDA / Regular Demat Account Holder (RSDA). I/We have read and understood the terms and conditions.

DP ID 

1	2	0	1	3	7	0	0
---	---	---	---	---	---	---	---

 Client ID 

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

Client Signature : 

<input type="checkbox"/> 10/18  10/18 <b>First Holder</b>	<input checked="" type="checkbox"/> 8/14 <b>Second Holder</b>	<input checked="" type="checkbox"/> 5/11 <b>Third Holder</b>
--	--	---

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

ECN AUTHORIZATION

From : \_\_\_\_\_  
\_\_\_\_\_

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

To,  
Dear Sirs,

**Sub: Mandate to issue contract in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bill, Notices etc.) through an E-mail**

I/We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE/NSE/MSEI/MCX/NCDEX with you, as the case may be, in terms of mandatory and voluntary client registration documents entered into between us/me, in digital form. Digital Contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.





1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.  
You can also send me/us my/our margin statement in digital form with contract notes.
2. I/We undertake to check the contract notes and bring the discrepancies to your notice of such issuance of contract notes. My / our non- verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any should be sent on E-mail: info@mehtagroup.in
5. Client can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital Contract Notes will be archived at an interval of 3 months. If the client intends to view the digital contract notes for a period prior to 3 months client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated form time to time as per applicable laws, rules and regulations of Exchange/SEBI.
10. Non-receipt of bounces mail notification by the trading member shall amount to deliver of contract note at the e-mail ID of the client.
11. Digital Contract Notes will also be available at our Web-site : www.mehtagroup.in
12. Any change in the E-mail ID shall be communicated by us / me through a physical letter.
13. Non-receipt of bounced e-mai, will amount to delivery of the documents.

**Other Communications (Such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bill, Notices etc.**

You can send me various documents like Daily margin statement, Statement of funds & Securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This Instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

Yours faithfully,

(Client Signature) 1)  11/18  11/18      2)  9/14      3)  6/11

**Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**  
**[SMS Alerts will be sent by CDSL to BOs for all debits]**

**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 account holders 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](mailto: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 without proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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 warranty 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.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BO ID 

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

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which messages are to be sent 

+91											
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(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: \_\_\_\_\_

Email ID: \_\_\_\_\_  
(Please write only ONE valid email ID on which communication; if any, is to be sent)

**Signatures**

12/18	10/14	7/11
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**First Holder**

**Second Holder**

**Third Holder**

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

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



**Voluntary****AUTHORISATION FOR RUNNING ACCOUNT**

To,  
**Mehta Equities Ltd.**  
 903, Lodha Supremus, Dr. E. Moses Road,  
 Worli Naka, Mumbai - 400 018.

**Sub: Authority to retain Funds towards Margin in Cash segment, F&O segment, Currency Derivative, Commodity Derivative & any other segment.**

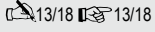
Dear Sir,

I/We am/are registered with you as a client for execution of trades from time to time in cash/capital and/or F&O segment / Currency Derivative and/or Commodity Derivative Segment of Bombay Stock Exchange Ltd. (BSE) and /or National Stock Exchange of India Ltd. (NSE) and/or Multi Commodity Exchange of India Limited. (MCX) and /or National Commodity & Derivative Exchange Limited. (NCDEX) (hereinafter called as "the Stock Exchanges"). For the purpose of operational convenience, I/we hereby give my/our consent to maintain my/our account for the funds on running account basis. I understand that consequent to your execution of my/our secondary market trades, I/we have either to pay/receive funds depending upon my / our securities transactions. In the event I/we have to receive funds from you on declaration of pay-out of funds by the Stock Exchanges, I/we hereby authorize you to retain the funds, as the case may be, with you as margin towards my/our ongoing secondary market transactions from time to time in Cash/Capital market and/or F&O segments and/or Currency Derivative Segment and/or commodity derivative segment of any of the Stock Exchanges.

Kindly further note that I am entitled to revoke this authorization at any time, after sending the revocation letter at your registered office to enable you to make necessary changes to handle my account without running account authorization. I / We further authorized you to retain funds as may be permitted by Stock Exchanges / SEBI from time to time while settling my/our account. I/we authorize you to actually settle my account with you once in a 30 days / once in a 90 days or such period as may be permitted by the Exchanges / Regulators from time to time. Further, I understand that, I/We can request for the release of pay-out any time after adjusting all dues towards Mehta Equities Ltd. I/We further confirm that intimation send regarding settlement of funds and securities by SMS at my/our mobile number is confirmed as being received by me/us.

Thanking You,

Yours faithfully,

Client Signature :  13/18  
 (In Case of Company form, Seal to be affixed)

Client Name : \_\_\_\_\_ Date : \_\_\_\_\_  
 (Please note that this authorization must be signed by the client and can not be signed by authorized person/POA Holder on behalf of the client)

**Voluntary****DECLARATION FOR COMMON E-MAIL ID & MOBILE NO.**

To,  
**Mehta Equities Ltd.**  
 903, Lodha Supremus, Dr. E. Moses Road,  
 Worli Naka, Mumbai - 400 018.

Dear Sir,

I/We, Mr./Mrs. \_\_\_\_\_ having client code \_\_\_\_\_ with you/our, hereby declare that the below mentioned e-mail Id and Mobile No. belongs to me/us .

	E-mail Id	Mobile No.
Name of the Sole / First Holder		
Name of the Second Holder		
Name of the Third Holder		

OR

It belongs to my spouse / Parent's / Dependent Children


Email ID: \_\_\_\_\_ Mobile No. \_\_\_\_\_


Signature of spouse / Parent's / Dependent Children : \_\_\_\_\_

Therefore, I request you that kindly continue sending the reports/documents on aforesaid e-mail ID for communication with me.

Thanking You,

Client Signature :

 14/18  
**First Holder**

 11/14  
**Second Holder**

 8/11  
**Third Holder**

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

<b>Date</b>	<b>D</b>	<b>D</b>	<b>M</b>	<b>M</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>
-------------	----------	----------	----------	----------	----------	----------	----------	----------

<b>DP ID</b>							<b>Client ID</b>								
<b>First Holder Name</b>															
<b>Second Holder Name</b>															
<b>Third Holder Name</b>															





To,  
**Mehta Equities Limited**  
 903, Lodha Supremus,  
 Worli Naka, Mumbai - 400 018.

Dear Sir / Madam,  
 I/We hereby state that: [Select one of the options given below]

**OPTION 1:**

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

Yours faithfully





	<b>First/Sole Holder</b>	<b>Second Joint Holder</b>	<b>Third Joint Holder</b>
<b>Name</b>			
<b>Signatures</b>	 15a/18  15a/18	 12a/14	 9a/11

**OR**

**OPTION 2:**

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

Yours faithfully

	<b>First/Sole Holder</b>	<b>Second Joint Holder</b>	<b>Third Joint Holder</b>
<b>Name</b>			
<b>Signatures</b>	 15b/18  15b/18	 12b/14	 9b/11

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

**Acknowledgement Receipt**

**Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:**

<b>DP ID</b>							<b>Client ID</b>								
<b>Name of the Sole/First Holder</b>															
<b>Name of Second Holder</b>															
<b>Name of Third Holder</b>															

**FATCA DECLARATION**

CLIENT CODE:.....

**PART A**

**Additional Mandatory details required under section 285BA of IT Act, 1961**

Place of Birth : _____	Country of Birth : _____
Nationality : _____	Father's Name : _____
Aadhar No.(If available): _____	Name of Spouse, if married: _____

Is your Country of Birth/Nationality/Tax Residency other than India? (Please Tick Mark)  Yes  No

If the individual is tax resident in more than one country then this information may be repeated for all such countries


Sr. No.	Date of Document Collected	Country of Residency for Tax purpose tax	Tax Identification Number(TIN)	TIN issuing country

Name of country as per Residential/Correspondence Address	Name of the country as per Permanent Address

**PART-B**

**FATCA & Other Reportable Accounts Related Certification-cum Undertaking for Individuals**

- I.....certify that I have declared my status as per applicable FATCA/CRS rules in India as notified by Government of India (GOI)/ Central Board of Direct Taxes (CBDT)/Securities Exchange Board of India (SEBI) in this regards.
- I certify that the information stated in the account opening form and supporting documentary evidence provided by me is, to the best of my knowledge and belief true, correct and complete and that I have not withheld any material information/document that may affect the assessment/categorization of the account as a US reportable Account /Other Reportable Account of otherwise.
- I understand the responsibility to declare, disclose and recertify within 30 days any changes that may take place in the information provided in the account opening form, and signed by me as well as in the documentary evidence provided by me or if any certification becomes incorrect.
- I also agree that our failure to disclose any material fact known to me, now or in future, any invalidate my application and Mehta Equities Limited (MEL) would be within its right to put restrictions in the operations of my account or take appropriate action permissible under the Indian regulations for the purpose or take any other actions as may deemed appropriate if the deficiency is not updated/rectified by me within the stipulated period.
- I agree to furnish any particulars/information(s) that is called upon me by MEL on account of any change in law either in India or abroad in the subject matter herein.

Client Signature :  16/18

**First Holder**

(Only in case Non-Individuals account)

**Draft Board Resolution to be printed on letter head of Company**

Extracts of the minutes of the meeting of the Board of Directors of.....  
..... held at .....held on  
..... at .....pm.

=====  
"RESOLVED THAT the Company / Trust be registered as client with Mehta Equities Ltd Member of Bombay Stock Exchange Limited (BSE),/ National Stock Exchange of India Ltd. (NSE) at Cash, Derivatives and Currency Segments for the purpose of dealing in equities/ F&O/Currency derivatives/ debentures/debts and other products and the said member be and is hereby authorized to honor instructions oral or written, given on behalf of the Company by any of the following authorized signatories:

Sr. No.	Name	Designation	Specimen Signature
1			
2			

Who are authorized to sell, purchase, transfer, endorse, negotiate and / or otherwise deal with / through Mehta Equities Limited on behalf of the Company.

RESOLVED FURTHER THAT Mr..... and .....  
.....Director of the company be and hereby authorized to sign, execute and submit such applications undertaking, agreements, and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effects to this resolution.

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

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of above director of the Company and Company Secretary who shall sign the same in token of their presence."

Certified true copy

For **Mehta Equities Ltd**

Director

**NACH/ECS/AUTO DEBIT** UMRN  Date

**MANDATE INSTRUCTION FORM**

Tick  ) Sponsor Bank Code  Utility Code   
 I/We hereby authorize  to debit (tick )   
 Bank a/c number

with Bank  IFSC  or MICR

an amount of Rupees  ₹

FREQUENCY  Mthly  Qtly  H-Yrly  Yrly  As & when presented DEBIT TYPE  Fixed Amount  Maximum Amount

Reference 1 (Mandate Reference No.)  Phone No.

Reference 2 (Unique Client Code-UCC)  Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD  
 From          
 To          
 Or  Until Cancelled  
 1.  17/18  17/18 2.  13/14 3.  10/11

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.  
 - I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity/Corporate or the bank when I have authorised the debit.

**ACKNOWLEDGEMENT RECEIPT**

Application No. \_\_\_\_\_

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

We hereby acknowledge the receipt of Account Opening Application Form and executed mandatory and voluntary client registration documents.

Name of the Sole/First Holder	<input type="text"/>
Name of Second Holder	<input type="text"/>
Name of Third Holder	<input type="text"/>

 8/8  
 Signature of Authorised Signatory  
 Mehta Equities Ltd.

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**Mehta Equities Ltd. (Mutual Fund)**

903, Lodha Supremus, Dr. E. Moses Road, Worli Naka, Mumbai - 400 018.

CLIENT CODE :



Broker/ Agent code ARN:	SUB-BROKER:	EUIN:
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**Unit Holder information****Name Of First Applicant:**

Pan Number:	Aadhaar No. (linkage with PAN mandatory)*	KYC:	Date of Birth:
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Father Name:	Mother Name:
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Name of Gaurdian:	Pan:
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**Contact Address:**

City:	Pincode:	State:	Country:
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Tel. (Off):	Tel.(Res):	Email:
-------------	------------	--------

Fax (Off)	Fax (Res):	Mobile
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Income Tax Slab/Networth:	Occupation Details:
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Place of Birth:	Country of Tax Residence:
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Tax Id No.:
-------------

Politically exposed person / Related to Politically exposed person etc.?	Yes	No
--	-----	----

Mode of Holding :	Occupation :
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**Name of Second Applicant :**

Pan Number:	Aadhaar No. (linkage with PAN mandatory)*	KYC:	Date of Birth :
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Income Tax Slab/Networth :	Occupation Details
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Place of Birth :	Country of Tax Residence :
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Tax Id No. :
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Politically exposed person / Related to Politically exposed person etc.?	Yes	No
--	-----	----

**Name of Third Applicant :**

Pan Number:	Aadhaar No. (linkage with PAN mandatory)*	KYC:	Date of Birth :
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Income Tax Slab/Networth :	Occupation Details
----------------------------	--------------------

Place of Birth :	Country of Tax Residence :
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Tax Id No. :
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Politically exposed person / Related to Politically exposed person etc.?	Yes	No
--	-----	----

**Other Details of Sole/ 1st Applicant****Overseas Address : (In case of NRI investor)**

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City :	Pincode :	Country :
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**Bank Mandate Details**

Name of Bank :	Branch :
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A/C No. :	A/c Type :	IFSC Code:
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**Bank Address :**

City :	Pincode :	State :	Country :
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**Nomination Details**

Nominee Name :	Relationship :
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Guardian Name (If Nominee is Minor) :
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**Nominee Address :**

City :	Pincode :	State :
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**Declaration and Signature**

I/We confirm that details provided by me/us are true and correct. The ARN holder has to disclosed to me/us all the commission (In the form of trail commission or any other mode),payable him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.

Date :	Place :
--------	---------

☐ 18/18 ☐ 18/18	✓ 14/14	✗ 11/11
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1st applicant Signature :	2nd applicant Signature :	3rd applicant Signature :
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# MEHTA



REWARDING RELATIONSHIPS

## MEHTA EQUITIES LTD.

# BOOKLET - 2

**Documents Forming part and parcel of KYC Kit**

- ¶ Rights and Obligation
- ¶ Risk Disclosure Document
- ¶ Guidance Note - Do's and Don'ts
- ¶ Operational Business Policies
- ¶ PMLA Information
- ¶ Additional Guidance Note for DP

(This booklet is also available on Mehta Equities Ltd. Website and in client web login.)

## DETAILS OF THE TRADING MEMBER

Name of the Stock Broker / Trading Member / Clearing Member :- Mehta Equities Ltd.

**Registered Office / Correspondence Address :**

903, Lodha Supremus, Dr. E. Moses Road,  
Worli Naka, Mumbai - 400 018.

Tel.: 91-22-6150 7100

Fax: 91-22-6150 7102

Email : [info@mehtagroup.in](mailto:info@mehtagroup.in)

Website : [www.mehtagroup.in](http://www.mehtagroup.in)

**Administrative Office Address :**

L. M. Tower, 3rd Floor, 27/20, Adarsh Society,  
Near ITI Circle, New Power House Road,  
Jodhpur - 324 003.

Tel.: 0291 - 5150903 / 915

Email : [info@mehtagroup.in](mailto:info@mehtagroup.in)

**Director**

Mr. Prashant Bhansali

E-mail: [prasant@mehtagroup.in](mailto:prasant@mehtagroup.in)

Tel.: +91 - 22 - 6150 7100

**Compliance Officer**

Mr. Prakash Joshi

E-mail: [compliance@mehtagroup.in](mailto:compliance@mehtagroup.in)

Tel.: +91 - 22 - 6150 7180

For any grievance/dispute please contact Mehta Equities Ltd. at the above address and email id [grievance@mehtagroup.in](mailto:grievance@mehtagroup.in) and Phone no. 022- 6150 7100 In case not satisfied with the response, please contact the concerned exchange / DP

Particulars	E-mail ID	Tel. No.
BSE	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	022-2272 8097
NSE	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	022-2659 8190 / 18002 20058
MSEI	<a href="mailto:investorcomplaints@msei.in">investorcomplaints@msei.in</a>	022-6112 9000
CDSL	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>	180 0200 5533

Name of Exchange	SEBI Registration No.	Segment
BOMBAY STOCK EXCHANGE LTD.	INZ000175334	Cash/Derivatives Segment
THE NATIONAL STOCK EXCHANGE OF INDIA LTD.	INZ000175334	Cash/Derivatives Segment (F&O) / Currency Derivatives
MSEI	INZ000175334	Currency Derivatives / Cash / Derivatives Segment (F&O)

CDSL	IN-DP-CDSL-35-99
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**Clearing Member(Equity & Currency Derivatives)**

Axis Bank Ltd

Jeevan Prakash Building

Sir P. M. Road , fort, Mumbai 400001

Tel (Direct) +91 22 40867523/406867518

This is to inform you that we are also engaged in proprietary trading.

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

**Mandatory**

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

**CLIENT INFORMATION**

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

**MARGINS**

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Stock Broker or the Exchange or as may be directed by SEB 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 SEB) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

**TRANSACTIONS AND SETTLEMENTS**

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

facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

#### **BROKERAGE**

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

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

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

#### **DISPUTE RESOLUTION**

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

#### **TERMINATION OF RELATIONSHIP**

27. This relationship between the Stock Broker and the client shall be terminated; if the Stock Broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of 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-tamperable 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 acknowledgment 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.

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

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The Stock Broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock Broker shall provide the Stock Broker's IBT Service to the Client, and the Client shall avail of the Stock Broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock Broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The Stock Broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the Stock Broker.
4. The Stock Broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock Broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the Stock Broker .
6. The Client shall immediately notify the Stock Broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The Stock Broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the Stock Broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock Broker and the Exchange do not make any representation or warranty that 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 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 the Client/Stock brokers/Exchange end for any reason beyond the control of the Stock Broker/Exchanges

## **Rights and Obligations of Beneficial Owner and Depository Participant as Mandatory prescribed by SEBI and Depositories**

### **General Clause**

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

### **Beneficial Owner information**

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

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

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

### **Dematerialization**

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

### **Separate Accounts**

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

### **Transfer of Securities**

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

### **Statement of account**

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send



one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

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

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

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

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

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

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

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

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

#### **Redressal of Investor grievance**

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

#### **Authorized representative**

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

## Law and Jurisdiction

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

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

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

### **TRANSACTIONS AND SETTLEMENTS**

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

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**a) Penny Stocks:**

Penny stocks may inter alia include 'T'/'TS'/'Z' group stocks in Cash Segment.

Trading in 'T'/'TS'/'Z' group scrips are permitted with quantitative and other restrictions as may be announced by the Exchanges from time to time and may even attract upfront payment of margin upto 10 percent. Trading in 'Z' group scrips may be blocked and not permitted for diverse reasons at the member's discretion.

On specific request of any of its constituent, the member may at its discretion, permit the constituent to trade in the scrips covered by the above referred group/s / and securities with specific conditions/restrictions/limitations. Mehta Equities Ltd (MEL) reserves the right to refuse execution of any transaction requests of the client on such illiquid securities or to reduce the open market interests of the client in such securities without assigning any reason.

**b) Exposure Limits:**

Exposure limits for the trading by any client will be based on segment wise financial ledger balances (credits) of NSE Cash/NSE F & O/NSE Currency Derivatives or BSE Cash/BSE F & O segments or any other segment that may be introduced by the Exchanges and the stocks made available by the client (with applicable hair cut prescribed by exchange on values). 'T' and 'Z' group securities will not be considered for fixing the exposure limits and F & O exposure limits will be granted on approved stocks only. In case of Ledger debit, only delivery based sale transactions will be permitted.

Mehta Equities Ltd (MEL) shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of MEL and such other factors or conditions which MEL may consider relevant for the purpose. Exposure limit multiples are subject to change and may vary depending on prevailing market conditions, client's profile or other factors. The member can alter/change it with or without intimation to constituents at its sole discretion.

**c) Brokerage:**

The member can charge a maximum brokerage at the rates as prescribed by SEBI and the exchanges, of trade value and the same will be within the prescribed limit as prescribed to SEBI / Exchange on the trade value exclusive of statutory levies but inclusive of sub-brokerage, if any.

**d) Penalty/Delayed Payment Charges:**

Delayed payment charge is only a penal measure. Any penalty imposed by SEBI/Exchanges or other authorities for any violation of trading and dealing regulations or restrictions by or on behalf of any constituent will be debited to the constituent's ledger account which he/she will be liable and required to pay up as called upon by the member.

The member will be entitled to claim from the client delayed payment charges/interest/late payment charges for non-fulfillment of obligations/non-payment of dues by the client when such delay extends beyond the prescribed period of T+2 days in case of cash segment transactions and T+1 day in case of F & O transactions including margins and/or M to M losses. The delayed payment charges will be calculated @24% p. a from the date of delay to the date of payment on the amount covered by the delay. The said period and the rate may be varied by the member under approved mode intimation to the client.

**e) Right to sell shares and close positions on account of non payment of client's dues:**

This shall be limited to the extent of settlement / margin obligation.

The member shall be entitled to liquidate/close out all or any of the constituent's position including any collateral for non-payment of lawful outstanding debit including the margins etc. and adjust the proceeds of such liquidation/close out, if any, against the constituent's trade liabilities/obligations/debit balance.

To the extent permissible under the applicable laws, securities and moneys lying with MEL or in their possession or control, for any purpose, for the benefit of the client, including in any account in which the client may have an interest, shall be subject to a lien in favour of MEL for the discharge of all trade related indebtedness of the client and client's other trade obligations to MEL.

The member reserves the right to decide upon the threshold limits for liquidation of constituent's positions. The constituent understands and agrees to Mehta Equities Ltd. communicating such threshold limits periodically, orally, and/or through e-mails, written correspondences through its trading terminals, branch representative, website and SMS or any other approved mode.

However, in the event of extreme volatility and/or constituent's open (outstanding) position resulting in marked to market losses beyond the member's thresholds any time during a Trading Session, and/or constituent's positions or collateral being unsaleable, the member may be forced to liquidate any of the constituent's available positions and collateral even during the course of a trading session without prior intimation to the constituent.



Mehta Equities Ltd shall not be obligated to return any margin to the client until the client has satisfactorily discharged all its payment obligations or other obligations under this rights and obligations.

**f) Internal Netting of Trades:**

The Member has the right to allocate securities/credits among the constituent and other constituents of the member in a manner and form that the member may deem fit in cases where the member has a net purchase obligation with the Exchanges but receives short delivery from the Exchanges and the Exchanges are able to deliver to the member only in part after the auction settlement and part is closed out by the Exchanges as per the rules of the Exchanges. In the event of the constituent unable to deliver securities against his/her /their sale obligation, the member shall have the express authority to buy/arrange the securities in question to meet the obligations of the member to the Exchanges or to the member's other constituents arising out of such failure of the constituent, without any further reference to the constituent. The constituent shall be fully responsible for any losses /charges sustained by the member as a result of the above failure and the same will be debited to the account of the constituent and respective debits and credits will be passed on to the respective clients as per exchange regulations.

l) Auction or close out in case of Market Shortage:- Where the client has sold the securities and delivery of securities sold is not received on or before settlement date, or securities received are not in deliverable state or client is not able to deliver the securities and position is deliverable in the market, the securities will be auctioned or closed out as per the rules of the concerned exchange. The client will be responsible for any resulting losses and all associated costs including penalty levied by the concerned Exchange.

**g) Generally, under the following circumstances, the member may opt to close the existing positions of the Client and/or is entitled to disallow the client from taking further positions:**

- i) If there is debit balance in the ledger account of the client on account of his obligations including the margin/M to M losses etc., beyond the prescribed period.
- ii) If the outstanding debit of the client on account of margin and marked to market losses exceeds the value of collaterals or if the value of collateral falls below the required level.
- iii) Extreme volatility in the market or in particular scrip or in the F&O segment
- iv) There are insider trading restrictions on the client
- v) Unforeseen adverse market conditions or any natural calamity affecting operations of the market
- vi) Any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts
- vii) The Stock Broker has reached its limit in that script
- viii) Due to abnormal rise or fall in the market, the markets are closed.
- ix) The client is undertaking any illegal trading practice or is suspected to be indulging in money laundering activities.
- x) The client has breached the client wise limit

**h) Temporary suspension or closing of account on constituent's request:**

- l) In the under mentioned circumstances the constituent's account may be temporarily suspended and may be re-activated on written request from the constituent:
- ii) Constituent not stationed in town for trading and/or gives written request accordingly.
- iii) Account has been inoperative for a period of 6 months.
- iv) If any discrepancies are found by Surveillance Department.
- v) On account of non-compliance of any requirement of the Exchanges/SEBI or any other statutory authority.
- vi) Any grievance raised by/against the constituent.
- vii) Similarly, any client desirous of closing his/her account permanently is required to inform in writing and decision in this regard will be taken by the management. After necessary approval by the management, the client code will be deactivated. Only after scrutinizing the compliance requirements, and a no pending queries confirmation is taken, securities and funds accounts will be settled.,

**i) De-registering a Client:i)**

- i) A client may be de-registered in the following events :
- ii) On a written request from the client.
- iii) ii) If the client is debarred by SEBI or any other authority.
- iv) If any regulatory action is initiated/taken against the constituent.
- v) If such client is suspected of indulging in illegal or criminal activities including fraud or money laundering
- vi) If such client's account has been lying dormant for a long time or the client is not traceable

- vii) If such client has been declared insolvent or any legal proceedings to declare him/her as insolvent have been initiated.
- viii) Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- ix) Upon the death, winding up, bankruptcy, liquidation or lack of legal capacity of the client
- x) If the client migrates to a jurisdiction which prohibits trading in Indian securities.

**j) Policy For Inactive Clients**

Any Client who has not traded in any segment of any of the exchanges with Mehta Equities Ltd. for the last one year calculated from the beginning of every financial year, Mehta Equities Ltd., at its sole and absolute discretion, term such client as a Dormant/Inactive Client.

The broking / trading account of such client shall be de-activated/suspended temporarily by Mehta Equities Ltd. If the client wants to activate the broking / trading account, then a request for re-activating the broking / trading account should be sent in writing /via e-mail(through e-mail ID registered with Mehta Equities Ltd.) to Mehta Equities Ltd. Such request for reactivation should be accompanied along with such documentary evidence as may be specified by Mehta Equities Ltd. from time to time. On the date of declaring the client as inactive, all the funds and securities lying his/her account will be returned immediately.

**K) MEL's right to square off:-** Without prejudice to MEL's other rights (including right to refer to Arbitration), in the event of client failing to maintain applicable margin money required to sustain the outstanding market positions of the client, MEL shall be entitled, at its option and liberty, to liquidate/close out all outstanding positions or any part thereof such that the outstanding market positions are either zeroed out or reduced to an extent where available margin covers the market positions remaining after such square off. MEL may also sell off all or any securities of the client lying with MEL as collateral or otherwise, for any amount due by the client and adjust the proceeds of such liquidation/close out against the trade liabilities/trade obligations to MEL. Any and all losses and financial charges on account of such liquidation/closing out shall be charged to and borne by the client.

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

**Mandatory**

- F Due to the tightened security and increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge our duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain in certain transaction, even if unknowingly or ignorantly, may land us in trouble.
- F There is an Act called **Prevention of Money Laundering Act 2002. (PMLA)**
- F The purpose of this act to prevent the financing of terrorism and to prevent laundering of money i.e. to legalize or officialize or canalise the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes.
- F This act is a part of the Global measures being taken by all countries under the initiatives of UN agencies.
- F It is applicable to all SEBI Registered brokers/sub-brokers and other financial institution who are dealing in any kind of financial assets.
- F It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them to FINANCIAL INTELLIGENCE UNIT, a department specially set up to administer this Act. under the Ministry of Finance.
- F The transactions which are supposed to be reported are cash transactions above rupees ten lakhs or series of cash transactions below ten lakhs but aggregating to above ten lakhs in a month or its equivalent in any foreign currency and the transactions which may not be in cash but suspicious in nature.
- F Any such above types of transaction, though not executed but attempted and failed are also required to be reported.
- F The suspicious transaction can be related to the transaction under the circumstances such as;
- F Clients whose identity verification seems difficult or clients that appear not to cooperate
  - F Assets management services for clients where the source of the funds is not clear or not in keeping with the clients apparent standing/business activity;
  - F Clients based in high risk jurisdictions;
  - F Substantial increases in business without apparent cause;
  - F Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
  - F Attempted transfer of investment proceeds to apparently unrelated third parties;
  - F Businesses undertaken by offshore banks/financial services,
  - F Businesses reported to be in the nature of export/import of small items.
  - F Unusual transactions by Clients of Special Categories (CSCs)

### **CLIENTS OF SPECIAL CATEGORIES MAY INCLUDE;**

- F NRI/ HNI / Trust/ Charities / NGO / Organizations receiving donations
- F Companies having close family shareholdings or beneficial ownership
- F Politically Exposed Persons
- F Companies offering foreign exchange offerings
- F Clients in high risk countries
- F Non face to face clients
- F Clients with dubious reputation as per public information available
- F No trading or demat accounts can be opened in the name of entity whose name is listed on the banned entity list being maintained at United Nation's website at <http://www.un.org/sc/committees/1267/consolist.shtml>.
- F While opening the new accounts all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under this act.
- F All the records of transactions and client identifications must be preserved in a manner which can be promptly retrieved and reported to the authorities in the specified format.
- F This is the highlights of the requirements under the Act. Sub-brokers/ Authorised Persons/ Remisers are advised to go through the SEBI's master circular at <http://www.sebi.gov.in/circulars/201/masterCircular/pdf>. for details information and understanding and also to visit the website of FIU-IND at <http://fiuindia.gov.in>
- F The end clients are advised to co-operate with us by providing the additional information/documents, if asked for during the course fo your dealings with us to ensures the compliance requirements under this Act.
- F As a responsible citizen, it is our statutory as well as moral duty to be vigilant and to refrain from temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering our freedom and causing damage to the nation and to us as well.

## MANAGING YOUR DEMAT ACCOUNT WITH CDSL

### Simple DOs and DON'Ts

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (**SMS Alerts Related to Transactions**) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com).
10. Register for CDSL's Internet based facility "easi" to monitor your demat account yourself. Contact your DP or visit CDSL's website: [www.cdslindia.com](http://www.cdslindia.com) for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.

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