

**Annexure - 1**  
**ACCOUNT OPENING KIT**

**INDEX**

S.No.	Name of the Document	Brief Significance of the Document	Page No.	
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>				
1	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	02-03	
2	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list. Document captures the additional information about the constituent relevant to trading account and an instruction/check list. Additional information as per CDSL Communique.	04-13	
		FATCA Declaration	41	
3	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Details sent on client's E-mail Id	
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities/ Commodities market.		
5	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.		
6	Policies and Procedures	Document describing significant policies and procedures of the stock broker.		
7	Terms and Conditions for availing transaction Using Secured Texting (TRUST) Service Offered by CDSL			
8	Basic Information about AML Measures For General Guidance of Clients			
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>				
9	Voluntary Document - 1	Documents showing voluntary consents for smoother operational conveniences of trading account which can be revoked at any point of time.		35-40
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Membership No., SEBI Registration No. & Date :

**CIN - U67921MP1999PTC013816**

Exchange	Membership No.	SEBI Registration No. & Date
NSE	90238	INZ000188930 / 01.08.2018
BSE	6777	INZ000188930 / 01.08.2018
CDSL	95700	INZ000188930 / 01.08.2018

**GSTIN : 23AACCR5344R1ZZ**

Registered office address: CHAMBER "A" 401, AMAR DARSHAN 28/2, OLD PALASIA INDORE

Phone : 0731-4006956 Website: [www.vijitone.com](http://www.vijitone.com)

Compliance officer name, Phone No. & email id : Ashish Kumar Jain - 9981119945 vrvampl27@gmail.com

Director Name, Phone No. & email id : Vijit Ramavat. 9826027699, vijitramavat@gmail.com

For any grievance/dispute please contact VIJIT GLOBAL SECURITIES PRIVATE LIMITED. at the above address or email id vrvamp127@gmail.com and no. 9981119945. In case not satisfied with the response, please contact the concerned exchange(s) as per following details.

Exchange	E-mail ID	Phone No.
NSE	ignse@nse.co.in	022-26598190
BSE	is@bseindia.com	022-22721233/34
CDSL	complaints@cdslindia.com	1800-200-5533/022-23058563

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575

Client Code	
Recommended by Signature	
Approved by Signature	
A/c. Opened by Signature	
Date	

TARIFF SHEET :			
Segment	Brokerage Type	% Age	Minimum
Capital Market NSE/BSE	Delivery Based		
	Square Up		
Equity Derivatives NSE/BSE	Future		
	Option		
Currency Derivatives NSE/BSE	Future		
	Option		
MCX	Future		
	Option		
NCDEX	Future		
	Option		

- Notes :**
- (1) Brokerage will be charged within the limits prescribed by SEBI/Exchanges .
  - (2) Brokerage will be charged on per share basis, rounded off to nearest 2 to 4 decimal points as per back office software of the stock broker and then multiplied with the total number of shares, in order to calculate total brokerage per transaction payable by the client.
  - (3) Apart from Brokerage as agreed with you and as disclosed hereinabove, various other statutory levies at

actual from time to time, such as GST on brokerage value, Securities Transaction Tax\* (as per applicable regulations). For e.g. on delivery based transactions STT@0.100% on transaction value buy & sell both, shall apply. GST, Sebi Fee and STT, both are Government levies and are subject to change from time to time.

- (4) On option segment of Exchange, it is hereby disclosed that brokerage shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.
- (5) Other Taxes and Statutory Levies as prescribed by Government and regulatory authorities would be applicable. Such taxes and statutory levies are charged as applicable from time to time.
- (6) Apart from above, delayed payment charges as per Policy & Procedures under mandatory documents forming part of KYC documents would also apply.
- (7) Vijit Global Securities Pvt. Ltd. reserves the right to revise the brokerage structure, by publishing / dVGSP Laying the same on its website [www.vijitone.com](http://www.vijitone.com)

\*Conditions apply

**DEMAT TARIFF SCHEDULE**

Legal Documentation Charges	Nil	KRA Charges	Rs. 40/-Per Pan No.
Power of Attorney	Rs 130/-	Demat Charges	Rs. 5/- Per Certificate + Rs.35/- Courier Charge for per DRN.
Individual & HUF AMC	Rs 400/-	Remat Charges	Rs 50/- Per RRN
Corporate AMC	Rs 1200/-	Pledge Creation/Invocation	Rs 50/- Per PSN. or 0.02% Whichever is higher
Transaction	Rs 20/- or 0.020% or Negotiable	Pledge Creation	Margin Pledge/Margin Unpledge Rs 25/-
On Purchase	NIL	Pledge Closure	Rs 50/- Per Closure
Pledge creation & closure confirmation	NIL	Book Charges	Rs 20/-
On Sale Through POA	0.010% (Min Rs. 10)	Fail Instruction charges	Rs. 25/- Per Instruction
Special Scheme - Deposit Rs. 3000/- (Refundable at the time of closing of A/c.) for life time AMC. Special Scheme - Deposit Rs. 1500/- (Non Refundable) for life time AMC.			

1. Fees Schedule are based on existing CDSL charges and may be changed at our discretion & will be informed before 30 days of implementation. 2. DRF would be accepted against up front payment. 3. Rejection of DRF will be charged at Rs. 35 of Registry only. 4. Service Tax and other levis would be extra as applicable. 4. In case BSDA (Holding value between Rs. Zero to 50000/- AMC NIL & 50001 to 2 Lac AMC Rs. 100) 5. As applicable taxes

<b>Demat Schemes (AMC):</b>	<b>Rs. 3000</b> <input type="checkbox"/>	<b>Rs. 1500</b> <input type="checkbox"/>	<b>BSDA</b> <input type="checkbox"/>
<b>Individual</b>	<b>Rs. 400</b> <input type="checkbox"/>		
<b>Corporate</b>	<b>Rs. 1200</b> <input type="checkbox"/>		

1  \_\_\_\_\_

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

(dd / mm/ yy)



s

Citizenship\*

IN- Indian

Others – Country

Residential Status\* Occupation

Resident Individual

Country Code \_\_\_\_\_

Foreign National

N

Type\*

S-Service Private Sector

o

O-Others Professional

n

Signature/ Thumb Impression

R

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Public Sector Sector

Government

Self Employed

Retired Housewife Student

Business Categorised

Not

2

2. **Proof of Identity (Pol)\*** (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

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

Passport Number

Passport Expiry Date

M  
M  
D  
D  
Y  
Y  
Y  
Y

Voter ID Card

Driving Licence

Driving Licence Expiry Date

M  
M  
D  
D  
Y  
Y  
Y  
Y

Aadhaar Card

NREGA Job Card

Others (any document notified by the central government)

Identification Number

\_\_\_\_\_

**3. Proof of Address (PoA)\***

**3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)**

**Address**

Line 1\*

Line 2

											City / Town / Village*										
Zip / Post Code*								State/UT Code				as per Indian Motor Vehicle Act, 1988									
Country*												Country Code			as per ISO 3166						

Line 3

District\*

State/UT\*

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

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

Proof of Address\*

M  
M  
D  
D

Y	Y	Y	Y
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Passport Number

Passport Expiry Date

Voter ID Card

Driving Licence

Driving Licence Expiry Date

M  
M  
D

Y	Y	Y	Y
---	---	---	---

Aadhaar Card NREGA

Job Card

Others (any document notified by the central government)

Identification Number

\_\_\_\_\_

**3.2 Correspondence / Local Address Details\* (Please see instruction E at the end)**

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

											City / Town / Village*										
Zip / Post Code*								State/UT Code				as per Indian Motor Vehicle Act, 1988									
Country*												Country Code			as per ISO 3166						

Line 1\*

Line 2

Line 3

District\*

\_\_\_\_\_

State/UT\*



**4. Contact Details** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **F** at the end)

Mobile

Tel. (Off)

Tel. (Res)

Email ID

-----



**5. Specify the proof of address submitted for permanent address Please Tick ( )**

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

**\*Not more than 3 Months old. Validity / Expire date of proof of address submitted**

Related Person Type\*  
Guardian of Minor  
Assignee  
Authorized Representative

**6. Details of Related Person** (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

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

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\* (Please see instruction (H) at the end)

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

Passport Number  Passport Expiry Date



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KYC Verification Carried Out by (Refer Instruction I)

Emp. Designation

Date

m  
d  
d  
y

y	y	y	y
---	---	---	---

[Employee Signature]

Institution Details

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Emp. Name

Emp. Code

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Emp. Designation

Name

Code

VIJIT GLOBAL SECURITIES PRIVATE LIMITED																			
I	N	1	0	7	4	0													

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Emp. Branch

[Employee Signature]

## Instructions/Guidelines for filling Individual KYC Application Form

### General Instructions:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1. Provide KYC number of related person if available.

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

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

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

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

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

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

### K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.

3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

**ANNEXURE - 3**  
*For Individuals & Non-individuals*  
**TRADING**  
**ACCOUNT**  
**RELATED DETAILS**

**A. BANK ACCOUNT(S) DETAILS**

Bank Name																													
Branch Address																						CITY				PIN			
Bank Account No.																													
Type:	<input type="checkbox"/> Saving	<input type="checkbox"/> Current	Other-In case of NRI/NRE/NRO (specify)																										
MICR Number																						IFSC Code							

**B. DEPOSITORY ACCOUNT (S) DETAILS**

Depository Participant Name		VIJIT GLOBAL SECURITIES PRIVATE LIMITED																											
Depository Name		NSDL														CDSL													
Beneficiary Name																													
DP ID		I N																											
Beneficiary ID (BO ID)		1 2		0 9		5 7		0 0																					

**C. OTHER DETAILS (PLEASE SEE GUIDLINES OVERLEAF)**

1. **Occupation** (Please tick (✓) any one and give brief details) : \_\_\_\_\_  
 Private Sector Service    Public Sector    Government Service    Business    Professional    Agriculturist  
 Retired    Housewife    Student    Forex Dealer    Others (Please specify)
2. **Name, PAN, DIN/UID, residential address and photographs of Promoters / Partners/Karta/Trustees/whole time directors** (Please use the Annexure to fill in the details)
3. **Is the entity involved/providing any of the following services**    YES    NO  
 - For Foreign Exchange / Money Changer Services    YES    NO   - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)    YES    NO - Money Lending / Pawning    YES    NO

**Please tick, if applicable :**  Politically Exposed Person For definition of PEP, please refer guidelines.

Related to a Politically Exposed Person

5. **GST NO.** \_\_\_\_\_ **Any other information:** \_\_\_\_\_

#### **D. TRADING PREFERENCES**

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

S. No.	Name of the National Stock Exchanges#	Date of Consent for trading on concerned Exchange	Segmentwise Signature of the Client	
1.	CDSL - DEMAT A/C		<input checked="" type="checkbox"/>	
2.	NSE CASH		<input checked="" type="checkbox"/>	
3.	NSE F&O		<input checked="" type="checkbox"/>	
4.	BSE CASH		<input checked="" type="checkbox"/>	
5.	BSE SLBM		<input checked="" type="checkbox"/>	

# 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.

## E. PAST ACTIONS

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

YES  NO

## F. DEALING THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name																				
SEBI Registration No.																				
Registered office address																				
																				Pin
Phone																				Fax
Website																				

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

Name of stock broker																				
Name of Sub Broker, if any:																				
Client Code												Exchange								
Details of disputes/dues pending from/to such stock broker/sub-broker: _____																				

## G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : ECN  
specify your Email id, if applicable: \_\_\_\_\_
- Whether you wish to avail of the facility to internet trading/wireless technology (please specify): \_\_\_\_\_
- Number of years of Investment/Trading Experience \_\_\_\_\_

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: \_\_\_\_\_

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

## H. INTRODUCER DETAILS (optional)

Name of the Introducer																				
	(Surname)						(Name)						(Middle Name)							
Status of the Introducer : Sub-broker=Remeshire/Authorized Person/Existing Client/Others, Please specify _____																				
Address & Phone No. of the Introducer																				
AP REG No.																			Date	

Signature of the Introducer

## Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [ For-non-individual]

S.No.	Name of the Authorized signatories /Promoters / Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			PEP RPEP
			PEP RPEP



			<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> PEP RPEP
--	--	--	---

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

**Note:** This nomination shall supersede any prior nomination made by the account holder(s), if any.  
The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

# Nomination Form

**[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]**

To VIJIT GLOBAL SECURITIES PRIVATE LIMITED  
CHAMBER "A" 401, AMAR DARSHAN 28/2,  
OLD PALASIA INDORE

## FORM FOR NOMINATION

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

Date	DP ID	Client ID
------	-------	-----------

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

### Nomination Details

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 account of my / our death.

Nomination can be made upto three Nominees in the account.		Details of 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1	Name of the Nominee(s) (Mr./Ms.)			
2	Share of each Nominee <small>[If not equally, please specify percentage]</small>	%	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>				
3	Relationship With the Applicant ( If Any)			
4	Address of Nominee(s)  City / Place: State & Country:  PIN Code			
5	Mobile/Telephone No. of Nominee(s)			
6	Email ID of nominee(s)			

8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }			
10	Address of Guardian(s) City / Place: State & Country:  PIN Code			
11	Mobile /Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with Nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar Saving Bank account no. <input type="checkbox"/> Proof of Identit <input type="checkbox"/> <input type="checkbox"/> Demat Account ID			

Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)	✓
Second Holder (Mr./Ms.)	✓
Third Holder (Mr./Ms.)	✓

**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      \      \

TO  
**VIJIT GLOBAL SECURITIES PRIVATE LIMITED**

**CHAMBER "A" 401, AMAR DARSHAN 28/2, OLD PALASIA  
 INDORE**

UCC								
DP ID	1	2	0	9	5	7	0	0
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								

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

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

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

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

Received nomination form :

(Please Tear Here)  
**Acknowledgement Receipt**

Registration No. CDS

Registration Date

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

UCC																				
						DP ID	1	2	0	9	5	7	0	0	Client ID					
Name																				

Address	
---------	--

No Nomination	<input type="checkbox"/> Does Not wish to nominate
---------------	--

## 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 dVGSPLayed for Information on stock broker's designated website, if any.

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

Date :

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

## FOR OFFICIAL USE

UCC Code allotted to the Client:	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td><td style="width: 20px;"></td> </tr> </table>																						

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

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

For: **VIJIT GLOBAL SECURITIES PRIVATE LIMITED**

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Date

Signature of the Authorised Signatory

## INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering

the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals:

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

## Annexure 2.1 & 2.2

### Additional KYC Form Opening a Demat Account

#### For Individuals & Non Individuals

To be filled by the Depository Participant

DP Internal Reference No.		Date
DP ID	1 2 0 9 5 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:-

#### HOLDERS DETAILS

Sole/First Holder's / Search Name		PAN							
		UID							
		UCC							
Second Holder's Name		EXCHANGE NAME & ID	NSE -12	BSE-11					
		PAN							
Third Holder's Name		UID							
		PAN							
		UID							

Name	
------	--

\*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the 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)

Status	Sub - Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTERA) <input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRId - Depository Receipts <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____

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

Guardian's Name		PAN	
Relationship with the applicant			

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[ Automatic Credit ] <input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input checked="" type="checkbox"/> Monthly
-------------------------------	---

I / We request you to send Electronic Transaction-cum-Holding Statement as the email ID _____	Yes      No
---	-------------

I/we wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	Yes      No
---	-------------

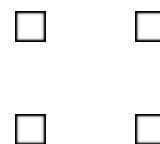
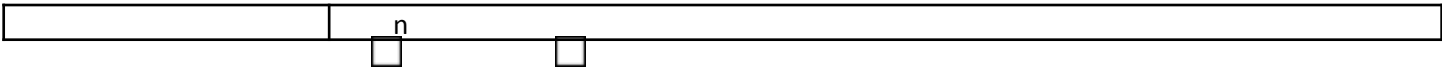
CAS Mode:	No	Yes	ECS
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Status	Sub - Status
Body Corporate      Banks      Trust      Mutual Fund      OBC      FII CM      FI      Clearing House      Other (specify)	<b>To be filled by the DP</b>

SEBI Registration No. (If Applicable)	INZ000300834	SEBI Registration date	0	5	0	8	2	0	2	1
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RBI Registration No. (If Applicable)		RBI Approval date	D	D	M	M	Y	Y	Y	Y
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Nationality	India	Other (specify) _____
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<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	<p><b>MOBILE No. +91</b>_____</p> <p><b>Refer to terms &amp; conditions given as Annexure 2.4</b>          [(Mandatory , if you are giving Power of Attorney ( POA))          (if POA is not granted &amp; you do not wish to avail of this facility, cancel this option).</p> <p style="text-align: right;"> <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/> </p>	
Transactions Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions <b>Annexure – 2.6 (Sent on your E-mail)</b>	<p>I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.</p> <p style="text-align: center;">         Yes          No       </p> <p>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</p>	
<b>easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

### CLEARING MEMBER DETAILS (To be filled by CMS only)

Name of Stock Exchange	NSE	BSE
Clearing Member Id	M70021	6777
Trading Member Id	90238	6777

I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end <b>(If not marked, the default option would be 'No')</b>
I / We would like to share the email ID with the RTA
I / We would like to receive the Annual Report in Physical / Electronic / Both Physical and electronic mode. <b>(Tick the applicable box. if not marked the default option would be in physical)</b>

on (date)

Gross Annual Income Details (Please tick ):  
Below 1 Lac  1 - 5 Lacs  5 - 10 Lacs  10 - 25 Lacs  25 - 100 Lacs  > 100 Lacs  
Net worth in ` (\*Net worth should not be older than 1 year)

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
NSE / BSE	VIJIT GLOBAL SECURITIES PRIVATE LIMITED	M70021 / 6777

## **ANNEXURE - 4**

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

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

#### **CLIENT INFORMATION**

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

#### **MARGINS**

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

#### **TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

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

#### **BROKERAGE**

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

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

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

#### **DISPUTE RESOLUTION**

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

#### **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without

giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/ withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

#### **ADDITIONAL RIGHTS AND OBLIGATIONS**

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

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

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of

the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the



manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

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

#### **LAW AND JURISDICTION**

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

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

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

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

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

## ANNEXURE - 5

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

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

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

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

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

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

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

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

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

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

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

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

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active

securities

/ derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

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

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

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

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

1.4.1 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.



## Annexure-6

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

#### BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.nseindia.com](http://www.nseindia.com), [www.bseindia.com](http://www.bseindia.com), [www.useindia.com](http://www.useindia.com), [www.mcx-sx.com](http://www.mcx-sx.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 dVGSPLaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or

statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

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

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

#### **DISPUTES/ COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are dVGSPLayed 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.

**POLICIES AND PROCEDURES AS PER SEBI CIRCULAR NO.  
MIRSD/ SE /CIR-19/2009 DATED 3 DEC, 2009**

**POLICIES AND PROCEDURES:**

**1. Refusal of orders for penny stocks:**

Stock broker is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

**2. Setting Up Client's Exposure Limits:**

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.).

The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode.

The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing.

**3. Applicable Brokerage Rate:**

a. **For Cash Market Segment:** The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies and the same shall not be charged more than maximum brokerage permissible as per the rules, regulations and bylaws of stock exchange and/or rules & regulations of SEBI. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.

b. **For Option contracts:** Brokerage for option contracts would not exceed Rs.100/- per lot single side or such other rates as provided by the exchanges.

**4. Imposition of penalty/interest on delayed payment by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)**

Client shall be liable to penalty on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this mandatory and voluntary client registration document / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged upto 22% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by the Stock Broker directly from the client's account.

**5. The right to sell clients' securities or close clients positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)**

1. If payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Client's account.

2. In case of benefit of margin will be given only after realization of instrument.

3. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowing or any off market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason before the close of market .
4. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/ liquidate all open positions/ securities / shares at the pre-defined square off time or when Mark to Market (M-T-M) 18 percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. similarly all transactions outstanding under limit by whatsoever name called may be closed out at specified time if not squared off by the client.
5. In case open position (Le. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any.
6. Any reference in these terms to sale or transfer of securities by the Stock Broker shall be deemed to include sale of the securities which form part of the Margin maintained by the Client with the Stock Broker.

**6. Shortages in obligations arising out of internal netting of trades**

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/ Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies + 5 % extra) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T +3 day or Auction day on Exchange +10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction

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

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

1. for non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's lawful liabilities/ lawful obligations.
2. Any order which is executed without the required Margin in the Client's account or the brokers exposure is more than 90% and above so no fresh trade will be taken.
3. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90% in any of exchanges, stock broker reserves the right to square off positions.
4. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI.
5. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this mandatory and voluntary client registration document or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock roker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

**8. Temporarily suspending or closing a client's account at the client's request**

Client may instruct the member to close out the account or suspend the trading through client's account for the

period as specified in the request in written and duly signed by him.

The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

**9. Deregistering a client**

A client is at liberty to deregister himself / itself from the member. For that purpose client will be liable first to settle his account in full. In case of any shortfall or any lawful dues or payment remaining after adjusting the margin account, the client will be liable to make payment of the same. And in case of surplus arising out after netting of account, client shall be entitled to receipt of the same.

The member shall also have power to deregister the client after settling his account at its sole discretion.

**10. Dormant accounts**

Any clients who has not traded over six month and have zero balance or insignificant debit or credit balance are treated as dormant accounts. The dealing officials are advised to re confirm the trade request made by such account holders. The clients who have not traded over two years are deleted from the server and if client desires to trade new KYC is obtained.

Any accounts where there is no trading activity over two years and having no significant balance such accounts are closed on annual closing of books of account and the balance amount on those account is transferred to Kasar account and such accounts are closed . A letter is obtained from the client to close the account. In case client has not traded over six month such client places the order, re- confirmation is obtained by calling the clients.

**11. Client Acceptance of Policies and Procedures stated hereinabove**

I/We have fully understood the same and do hereby sign the same. These Policies and Procedures may be amended / changes can be done with client's consent as per applicable rules, regulations and bylaws of exchange / SEBI or changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the mandatory and voluntary client registration document and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

**Client's Signature**

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## Annexure 2.6

### Terms and Conditions for availing transaction Using Secured Texting (TRUST) Service Offered by CDSL:

1. Definitions: In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:
  - i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository,
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered/shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to BO at his / her request and at the discretions of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
3. The messages will be sent on best efforts basis by way of an SMS on the mobile no. which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP/CDSL will not be held liable for acting on SMS so received.
6. The BO Shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (Registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's



records shall be conclusive evidence and the parties agree that CDSL's decision on the same shall be final and binding on both Parties.,

12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instruction. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to change such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorised Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Provides or any other third party.
15. The BO takes responsibility for the correctness of the information supplied by him to Depository through the use of the said. Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demand, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer: Depository shall be absolved of any liability in case:-
  - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.:
  - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
  - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false

/ misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

Sole / First Holder / Authoriseed Signatory Name

Second Authoriseed Signatory  
Signatory

Third Authoriseed  
Signatory

Designation \_\_\_\_\_

\_\_\_\_\_

Signature  \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



## BASIC INFORMATION ABOUT AML MEASURES FOR GENERAL GUIDANCE OF CLIENTS :

### Background :

In response to mounting concern over money laundering world wide, G-7 summit as held in Paris in the year 1989, a policy making body having Secretariat Organisation for Economic Co-operation and Development (OECD) was established, to work for generating necessary political will / willingness to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing.

World Bank and International Monetary Fund (IMF) have also established a collaborative framework in with Financial Action Task Force (FATF) in this regard. Our country (India) is also one of the member and has been accorded "Observer" status.

### Objectives :

The brief objectives of these provisions is to establish general framework for the fight against money laundering, terrorism, financial crimes and corruption.

- Ensuring that financial institutions are not vulnerable to infiltration or abuse by organized crime groups
- Building capacity to fight terrorism and trace terrorist money
- Meeting binding international obligations and avoiding the risk of sanctions or other actions by the international community.
- Avoid becoming heaven for criminals
- Securing a more transparent and stable financial system that is attractive to foreign investors

### What is Money Laundering ?

- To conceal or hide financial assets with a view to use it without detection of its source that is illegal activity which produced it.
- Through money laundering, the launder transforms the monetary proceeds derived from criminal activity into funds with an apparent legal source.
- It is the process by which criminals try to hide and disguise the true source / origin and ownership of proceeds of their illegal/criminal activities.
- It may be conversion of illegally earned income in to another form so that it appears as a legitimate income.
- The term "Money Laundering" is also used in relation to financing of terrorist activity (where funds may / may not originate from crime).
- It is a medium through which dirty money insert in the financial system and make such money look clean.
- Money is circulated around the financial system in such a way that its ancestry gets hidden.

### Activities that can be considered as Illegal / Criminal Activity :

- |              |                |                              |                    |
|--------------|----------------|------------------------------|--------------------|
| ▪ Corruption | ▪ Bribery      | ▪ Counterfeiting and Forgery | ▪ Smuggling        |
| ▪ Extortion  | ▪ Prostitution | ▪ Gambling                   | ▪ Robbery          |
| ▪ Fraud      | ▪ Kidnaping    | ▪ Tax Evasion                | ▪ Drug Trafficking |

### Various stages of Money laundering :

- Placement** : It is a initial stage in which money from criminal activities is placed in financial institution. It may be through various methods viz. arranging or breaking up currency transactions in to portion which falls below reporting threshold for specific purpose to avoid reporting requirements.
- Layering** : It is a process of conducting a complex series of financial transactions with a purpose of hiding origin of money and hindering any attempt to trace the funds. It may include multiple trades for security, Purchase of financial product such as Life Insurance or purchase of legitimate businesses.
- Integration** : Last and final stage in the re-injection of the laundered proceeds back in to the economy in such a way that they re-enter the financial system as normal business funds.

### Consequences of Money Laundering :

- Finances terrorism
- Encourage crime
- Endangers society at large
- Weakening of macro economic factors of country
- Affects the integrity of the financial system
- Government control on economy reduces
- Weakening of Law & Order

**Indian Framework :**

India has also framed, "The Prevention of Money Laundering Act, 2002" (PMLA) which came into effect w.e.f. 01.07.2005. A separate Foreign Intelligence Unit (FIU) is also established as a central monitoring agency / central repository to combat Money Laundering. Necessary notifications / rules / guidelines / circulars / recommendations etc. are also issued and being issued by various regulatory authorities including SEBI from time to time.

**Applicability of PMLA:**

The provisions of the Act are applicable to Banking Company, Financial Institution and Intermediary (which includes, stock broker, sub-broker, share transfer agents, portfolio manager and other intermediaries associated with Securities Market and registered under section 12 of SEBIA Act, 1992.)

All the aforesaid entities have to maintain a record of all the transactions, its nature and value involved. Such transactions shall include :

- (a) All cash transactions > Rs. 10.00 lacs or its equivalent in foreign currency
- (b) All integrally connected series of cash transactions < Rs. 10.00 lacs or its equivalent in foreign currency within one calendar month
- (c) All suspicious transactions

**Suspicious Transactions :** Means a transaction, whether or not, made in cash which, to a person acting in good faith,

- (a) Gives a rise to a reasonable ground of suspicion that it may involve the proceeds of crime
- (b) Identity verification or address seems difficult or found to be forged / false
- (c) Gives rise to a reasonable ground of suspicion that it may involve financing of the activities relating to terrorism.
- (d) Unusual and unexplained large value of transaction
- (e) Unusual and unexplained activity in dormant accounts\
- (f) Transfer of large sums of money to / from overseas locations.
- (g) Appears to be made in circumstances of unusual or unjustified complexity
- (h) Appears to have no economic rationale or bonafide purpose.
- (i) Asset Management services where the source of the funds is not clear or not in keeping with apparent standing / business activity

**Obligation of the Customer / Clients :**

Always provide complete and correct details during account opening process like :

- |                            |                   |                     |                        |
|----------------------------|-------------------|---------------------|------------------------|
| ▪ Address Proof            | ▪ Identity Proof  | ▪ PAN               | ▪ Income Details       |
| Periodically update your : | ▪ Contact details | ▪ Financial details | ▪ Occupational details |

The transactions executed should be commensurate with the disclosed income details.

Provide requested explanations/details for suspicious transactions.

**Ramifications / Consequences / Implications :**

- (a) Money Launderer faces steep fines of double the amount of financial transaction, along with forfeiture of assets associated with laundered funds.
- (b) Whoever commits the offence of money laundering shall be punishable with rigorous imprisonment for a minimum term of 3 years extendable to 7 or 10 years and shall also be liable to fine which may extend to 5.00 lacs rupees.
- (c) Any kind of association with a criminal element can severely damage the reputation. It is in the best interests to keep names free of any criminal association.
- (d) Protect reputation by being informed about anti-money laundering rules and regulations.
- (e) If anybody sees activity that may indicate money laundering, report it to the Director, FIU India, 6 Floor, Hotel Samrat, Chanakyapuri, New Delhi -110021.

**Disclaimer :** The Company (VGSPL) does not take any warranty (express or implied) or assumes any legal liability / responsibility for the accuracy, completeness or usefulness of any information mentioned herein above which is prepared based on available information and for the sole purpose of general guidance and create awareness amongst the clients.

I /We have read and understood the aforesaid AML literature and in token of acceptance of the same, do hereunto put our signature.

\_\_\_\_\_

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

(dd / mm/ yy)

## **ANNEXURE 2.7**

### **RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS 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 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 securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

#### **Transfer of Securities**

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

### **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 provide 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 16of 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 right to recover the same form 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 of 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.

**VOLUNTARY DOCUMENT NO. 1**

**[FOR SMOOTHER ACCOUNT OPERATIONS]**

**To VIJIT GLOBAL SECURITIES PRIVATE LIMITED (Member of NSE, BSE, MCX, NCDEX)**

**I / WE UNDERSTAND THAT THIS IS PURELY A VOLUNTARY DOCUMENT AND SHALL FORM PART OF THE NON MANDATORY DOCUMENTS OF MY KYC FORM. IN CASE IF ANY OF THE CLAUSES OF THIS DOCUMENT SHALL DILUTE YOUR RESPONSIBILITY AS A STOCK BROKER / COMMODITY BROKER OR IN CONFLICT WITH ANY OF THE CLAUSES IN THE MANDATORY DOCUMENTS, RULES, BYE-LAWS, REGULATIONS, NOTICES, GUIDELINES AND CIRCULARS ISSUED BY SEBI AND THE STOCK EXCHANGES FROM TIME TO TIME, THE SAME SHALL STAND NULL AND VOID.**

1. I /We (herein after referred to as Client at some places) do hereby declare that I am /We are regular investor in the stock markets in India and as such I am /We are conversant with the laws, practices, rules, regulations, guidelines, circulars, notifications etc. prescribed by Securities & Exchange Board of India (SEBI), National Stock Exchange of India Ltd. (NSEIL) Bombay Stock Exchange Ltd. (BSE) Multi Commodity Exchange (MCX), National Commodity & Derivatives Exchange Limited (NCDEX).
2. I /We wish to transact through Vijit Global Securities Pvt. Limited (herein after referred to as VG SPL / Stock Broker / Commodity Broker/ Member / you) and as such this document will operate for any / all / both of the segments of NSE, BSE, MCX, NCDEX and whether CM Segment, F&O Segment and/or Currency Derivatives Segment or Commodity derivatives such other segment as the VG SPL may become a member, in future, of these Exchanges and when I / We become client of that / those segment(s).
3. I /We understand and agree that you can debit my/our accounts either for any additional services provided by you as per my / our requests depending upon opening of my /our relevant account(s) or as may be required in compliance with applicable provisions of law.
4. I /We further declare that I am /We are aware of the illegal practices, if any, that may be prevalent in the Stock Market and I/We assure you that I /We will not indulge into the same.
5. I /We further declare that I /We will not carry out any unfair trade practices such as Synchronized Deals, Structured Deals, Circular Trading, Insider Trading in the Capital Market and / or F&O Market and /or Currency Derivatives Market or Commodity Market.
6. I / We further declare and confirm that I / We will not place any order or carry out any trades / transactions on the Exchange which will reflect as an arrangement for profit or loss transactions or cross deals. Further, all the orders placed on the Exchange through you, will be in the normal market at normal / prevailing market prices and only in Liquid Securities / Scrips and not at unrealistic prices where there is corresponding underlying securities positions in the cash or futures segment of the Exchange. In case, any of my / our transactions being declared as violative to any rules / regulations / byelaws / circulars / directions / guidelines etc of the Exchange / SEBI / SCRA, I /We will be solely responsible for all penalties /charges / damages etc levied to you by the Exchange and accordingly agree to reimburse/ pay the same to you.
7. I am / We further declare that as on the date of registration as your client, I am / We are eligible to transact in the securities market as per applicable rules, regulations, byelaws, circulars, guidelines etc. of SEBI & NSE, BSE, MCX, NCDEX have not been banned / restrained to transact in the securities market by any Exchange or statutory authorities and whatever permissions / prior permission s, as may be required from government authority(ies) have been obtained by me/ us.
8. I /We hereby further declare that I am /We are aware of the following provisions of laws applicable to the Securities Market as may be applicable from time to time.
  - A) Section 11 of the SEBI Act, 1992 read with 11B inter alia prescribed that 11 (4) without prejudice to the provisions contained in subsection (1) (2) (2A) and (3) of 11B , the Board may, by an order for reasons to be recorded in writing, in the interests of investors or securities market, take any of the following measures, either pending investigation or inquiry or on completions of such investigation or inquiry, namely restrain person from accessing the securities market and prohibit any person associated with securities market to buy, sell or deal in securities.
  - (B) Section 4 Prohibition of manipulative, fraudulent and unfair trade practices
    - (1) Without prejudice to the provisions of regulation 3, no person shall indulge in a fraudulent or an unfair trade practices in securities.
    - (2) Dealings in securities shall be deemed to a fraudulent or an unfair trade practices if it involves fraud and may include all or any of the following namely:-

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(A) indulging in an act which creates false or misleading appearance of trading in the securities market;

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- (B) dealing in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss;
- (C) advancing or agreeing to advance any money to any person thereby inducing any other person to offer to buy any security in any issue only with the intention of securing the minimum subscription to such issue;
- (D) paying, offering or agreeing to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;
- (E) any act or omission amounting to manipulation of the price of a security;
- (F) publishing or causing to publish or reporting or causing to report by any person dealing in securities any information which is not true or which he does not believe to be true prior to or in the course of dealing in securities;
- (G) entering into a transaction in securities without intention of performing it or without intention of change of ownership of such security;
- (H) selling, dealing or pledging of stolen or counterfeit security whether in physical or dematerialized form;
- (I) an intermediary promising a certain price in respect of buying or selling of a security to a client and waiting till a discrepancy arises in the price of such security and retaining the difference in prices as profit for himself;
- (J) an intermediary providing his clients with such information relating to a security as cannot be verified by the clients before their dealing in such security;
- (K) an advertisement that is misleading or that contains information in a distorted manner and which may influence the decision of the investors;
- (L) an intermediary reporting trading transactions to his clients entered into on their behalf in an inflated manner in order to increase his commission and brokerage;
- (M) an intermediary not disclosing to his client transactions interceded into on his behalf including taking an option position;
- (N) circular transactions in respect of a security entered into between intermediaries in order to increase commission to provide a false appearance of trading in such security or to inflate or depress or cause fluctuation in the price of such security;
- (O) encouraging the clients by an intermediary to dealing in securities solely with the object of enhancing his brokerage or commission;
- (P) an intermediary predating or otherwise falsifying records such as contract notes;
- (Q) an intermediary buying and selling securities in advance of a substantial client order or whereby a future or option position is taken about an impending transaction in the same or related futures or options contract;
- (R) planting false or misleading news which may induce sale or purchase of securities.

I/We hereby further declare that I/ We will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons/entities. In the event of any of the above fraudulent or unfair trade practices is noticed by the Exchange or Regulatory Authorities, then I/We shall be solely responsible for such acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the capital market segment and Futures and Options segment of the exchange.

9. I / We further declare that I / We will not give any third party shares for settlement of my/our obligations to the Exchange. I /We further understand and agree that, for any reason, if any third party delivery is delivered to you, without prejudice to your right to reject the same upfront and without my/our notice / intimation or without your right to levy any further charges / auction charges / penalties upon me/ us as you may think fit and proper, at my/ our sole risk, you can take such action as you may deem fit and proper including but not limited to suspension of my trading code or withholding of funds and/or securities.
10. I /We further declare that I /We will not receive or give any monies in cash or in kind for completing the settlement obligations, either pay-in or pay-out or margin etc. to the Exchange.
11. I / We declare and confirm upfront that the securities delivered, if any, towards margin / collaterals / pay-in obligation etc. shall absolutely be free from any lien / encumbrances of whatsoever nature.
12. Considering my / our account to be maintained on Running Account basis, I /We also request you, subject to settlement on monthly or quarterly basis (strike off which ever is not applicable) as per my / our wishes, to consider

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the balances in my / our running funds and securities account with you for the purpose of margins / any other lawful obligations

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due to you. In view of the above it would be proper for you to release the funds and securities due to us/me on our/my specific request, either written or oral and only to the extent demanded by me/us. You may charge the cost of holding securities to our/my account with you, if any and I/We will make payments to you for bills raised by you or by way of journal voucher entries or other accounting entries in my/ our client ledger maintained in your books of accounts backed by actual fund transfer.

13. In consideration of you- the Stock Broker / Commodity Broker agreeing to this, I /We the Client agrees that if any amount is overdue from me /us, you may charge delayed payment charges as per your RMS policy from time to time and thus, the over dues including the interest on delayed payment, shall be adjusted by you from dues to be payable to me/ us . Thus I/ We as your Client authorizes you - the Stock Broker / Commodity Broker to make adjustments and/or to set off a part or whole of the securities placed as margin/collateral, and/or any credit in any account as a Client so maintained with you - the Stock Broker / Commodity Broker or against the lawful outstanding dues in any of the account maintained by me/ us with the Stock Broker/ Commodity Broker. I/We further authorize you - the Stock Broker/ Commodity Broker to sell the securities to recover any dues payable by me/ us to the Stock Broker/ Commodity Broker. This authorization shall be treated as standing authorization and any entry passed or adjustments done by you - the Stock Broker/ Commodity Broker to give effect to this authorization shall be binding on me / us as your Client. I/We, as your Client understands and confirms that this authorization forms basis for you as a Stock Broker/ Commodity Broker to give trading limits /exposure limits, and for any other facilities offered by you to me / us. I/We also understand that according to the rules byelaws and regulations of the exchange and SEBI, you -the Stock Broker/ Commodity Broker, are required to maintain segmentwise / exchange wise account of the Client.
- (i) Money pay-in to Stock Broker / Commodity Broker: The client agrees that all payments due to the Stock Broker will be made within the specified time and in the event of any delay, the Stock Broker may refuse, at their discretion, to carry out transactions on behalf of the client. The client agrees that alternatively, the Stock Broker may square off such transactions or close-out the position and the costs/losses if any, thereof shall be borne solely and completely by the client. All payments made to the Stock Broker shall be from the account of client and shall not be from any third party. It is also agreed and confirmed that the stock broker as informed me/us that third party delivery / cheque will NOT be accepted but if Stock Broker has inadvertently accepted any third party payment given by me/us directly to the bank A/c of Stock Broker, without its knowledge or information, the same shall be returned to the person from whose bank account the payment has been made and the client agrees and confirms the sole responsibility of what so ever nature, if any, imposed upon the stock broker by Exchange or any other authority.
  - (ii) Money pay-out by Stock Broker / Commodity Broker: Notwithstanding anything contained in any other clause, if any, between the parties hereto, the client hereby authorises the Stock Broker to release all payments due to him from the trading account maintained with the Stock Broker, against specific request in that behalf made in the manner and following the procedure laid down in the terms and conditions. For the purposes of this clause, any request made through or on the web-site or otherwise intimated shall be sufficient for the Stock Broker to execute an instruction. Any payment made to the designated bank account or in the name of the client as per information available with the Stock Broker shall be deemed to be payment made to the client.
  - (iii) Securities pay-in to Stock Broker / Commodity Broker: Any delivery to be effected to the Stock Broker for a trade, must be made well within the prescribed time limit as per settlement schedule of the exchange. However, stock broker may accept or reject any late delivery than as stated above. Losses, if any, that may accrue in the event of default in completing the delivery on the Exchange by the Stock Broker as a result of any delay in the delivery by the client, shall be borne solely and completely by the client. Losses for the purposes of this clause shall include auction debits/penalty charges, if any incurred as a result of non-delivery of securities on the settlement date on the Exchange. No third party shares will be sold through the Stock Broker or third party payment should be made to Stock Broker and client will be solely responsible for any violation. If the client has sold any securities in anticipation of receipt of securities from the exchange against purchase in previous settlements, such sale shall be at the sole risk as to costs and consequences thereof of the client.
  - (iv) Securities pay-out by Stock Broker / Commodity Broker: The Stock Broker / Commodity Broker may directly credit the demat account of the client with the depository participant Provided that if the order placed by the client through the web-site or otherwise is for securities which are in the no-delivery period, such securities shall be credited to the trading account of the client only at the time of settlement of trades, as per the schedule of the Exchange. However, if any sum is due from the client the Stock Broker may withhold the credit of securities to its own beneficiary demat account or the demat account of the client.
  - (v) Securities shortages in pay in and pay out: The client agrees to be bound by the guidelines, including the rules pertaining to the adjustment of shortages in the client's position in securities transacted on behalf of the client, by the Stock Broker, either through orders placed through the use of the IBT or e-broking services and dial-up

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services of the Stock Broker or otherwise as may be issued by the Stock Broker from time to time. In case of

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internal shortage of securities, any entry passed to the account of Client in accordance with practice consistently followed by the Stock broker across all its Clients as may be consonance with stock exchange market / practices, shall be binding on the Client.

- (vi) Stock Broker is entitled to consider any sum or money or security lying to the credit of the Client as margin received.
14. I/We have a beneficiary account with VGSPD DP bearing demat account no.\_\_\_\_\_. I/We find it extremely inconvenient to give cheques against your depository bills. Hence, I /We hereby authorise you, subject to applicable provisions, if any, to debit the trading account maintained with you for the debit charges payable by me/ us to you as a DP for providing depository services to my/our trading account balances.
  15. As regard the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me/us in complying the same, I /We would request you to accept orders placed by any other means other than written.
  16. I /We have no objection if due to punching errors you might have to change the client codes for trade done as the circumstances may warrant, as per the rules and regulations of the Exchange.
  17. I am / We are aware, agree and confirm that for non-payment of any margin money / pay-in obligations, you - the stock broker may sell all / any of the securities held by broker towards margin / collaterals /credit balance lying in my/ Our client's account or may square-up all/any open position to fulfill these requirements as the circumstances may warrant.
  18. I /We specifically consented not to Indulge into any off-market transactions leading to dubba-trading.
  19. I /We have also noted the details of your compliance officer including your designated E-mail ID for complain / grievances redressal.
  20. I/We shall not indulge in any sub-broking activities nor issue bills /contracts/confirmation notes to anyone else for trades done in my / our client code without obtaining SEBI or Exchange Registration in my/our name.
  21. I / We as your client agrees that you (stock broker) / Commodity Broker, shall not be liable or responsible for non execution of orders placed through trading terminals / website or through any other mode due to the failure of any system or link out side your control or any other reason whatsoever or for non-performance of your obligations due to any reason whatsoever including but not limited to natural calamities or civil commotion, war, strikes, government/ regulatory action, exchange or market rulings, suspension of trading. I /We are aware and agree that you (stock broker) also reserves the right of refusing to execute any particular transaction in your absolute discretion if you found the same to be violative to any provisions or is/are not in consonance with your RMS policy.
  22. I / We as your client agrees that any failure by you as a Stock Broker / Commodity Broker to exercise or enforce any rights conferred upon you by this document/or as per KYC document executed between us, shall not be deemed to be a waiver of any such rights or operate so as to bar the exercise or enforcement thereof at any subsequent time or times.
  23. I /We as a client, hereby agrees and indemnifies, and shall always keep you (Stock Broker) / Commodity Broker indemnified against all such action and / or claims, costs, charges damages, losses and expenses which may be incurred, suffered and / or sustained by you (Stock Broker) due to my/our mistake or non-compliance of any rules, regulations, circulars or other provisions or with respect to any third party cheque(s) and / or delivery of shares, which may be given by me / us as your client to be credited in my /our account as your client.
  24. I /We as your client do hereby agrees with respect to Compliance with prevention of money laundering act, 2002 (PMLA), as amended till date and from time to time and rules, regulation and guidelines framed hereunder and confirms that all the information which may be required by you (stock broker) / Commodity Broker to enable you to comply with the provisions of thePMLAand the rules, regulation and guidelines framed there under has been disclosed including issues related to "beneficial ownership", if any and also undertakes to promptly provide the same on an on-going basis whenever required. As also I / We hereby agree to keep you (Stock Broker) / Commodity Broker informed of any change in the information earlier provided in/ through KnowYour Client Form or otherwise in this regard immediately in writing.
  25. All fines / penalties and charges, exemplary damages etc. levied upon you due to my / our acts / deeds or transactions including illegal acts or unfair trade practices etc. as may be levied by the Exchanged) and suffered by the Member, shall be passed on to me / us and recovered by you from my /our account either by way of debiting the same or otherwise.
  26. If permissible under other provisions of KYC documents executed between us or as per rules, regulations, byelaws, circulars or guidelines or other provisions of Exchanges and/or SEBI, I am / We are aware that you may charge delayed payment charges by whatever name called.



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27. Close out in case of internal shortage: I /We, your Client hereby agrees that if I /We have short delivered any securities against my / our pay-in obligations which resulted into internal shortage i.e. buys position of another client of the stock broker / Commodity Broker and couldn't be auctioned in the market than close out price @ \_\_\_% above the closing price on the Auction Day or Closing price of first trading day of the settlement whichever is higher. I /We further specifically agrees that without prejudice to the Member's other rights including the right to refer a matter to arbitration, the member shall be entitled to liquidate / close out all or any of my / our open position/margin related obligation. Any and all losses, financial charges and /or incidental expenses incurred by the member on account of such liquidation / closing out shall be reimbursed by me / us or deductible by the member from the monies and /or collateral margin of mine/ ours, brokerage of the subbroker available with the member.
28. I /We consent to adjust debit / credit balances in between my / our various accounts viz. F&O Initial / Upfront Margin Account, F&O M TO M Account, CM Segment Account, Margin Account or such other accounts maintained with you pursuant to opening of this trading codes with you. The same can be done in your books of accounts by passing JV Entries or in such other manner as may be permissible.
29. Sharing of Information : I/We agree to immediately furnish information to the member in oral /writing or the member suo-moto (on its own) in receipt of such information in the event that is likely to have an adverse effect of my /our financial position or any restrictions or adverse findings or actions, if any, by any statutory authority. Upon receipt of such information, the member shall be entitled to take such action as it may consider necessary in order to protect its own interest, including without limitation, liquidation / closing out all / any outstanding positions of mine / ours. Any and all losses, financial charges and /or incidental expenses incurred by the member on account of such liquidation / closing out shall be make good or reimbursed by me/ us to the member.
30. Investment Advice : The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. The Client also acknowledges that the Member's Employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from member or any of its employees. The Client agrees that in the event of the Member or any employee or official of the member providing any information to the client, he / she / it may act upon the same at sole risks, costs and consequences and the member shall not be liable / responsible for the same. The client further agrees to always keep himself/herself/itself abreast of all requirements to be complied with by him/her/it under various laws including Foreign Exchange Management Act (FEMA), 1999 wherever applicable and the rules, regulations, directions, circulars, notifications, guidelines etc. issued under or pursuant to the relevant laws from time to time.
31. The Client shall not hold VGSPPL responsible for any losses incurred on account of failure of System/Risk Management System/Network Congestion/Loss of Connectivity from Dealing Office.
32. Restrictions on Regulation of Dealings: The Stock Broker / Commodity Broker shall at its discretion decide, from time to time, the volume of business which the Client (introduced directly or by the sub-broker or authorised person) may transact during any trading day on NSE/BSE/MCX exchange wise or segmentwise or in combine. Notwithstanding such as an understanding / arrangement, the Stock Broker / Commodity Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client as per RMS policy from time to time, inter-alia, having regard :
- (i) to the volatility in the market ;
  - (ii) in view of impending price sensitive announcements ;
  - (iii) any restrictions in relation to volume of trading / outstanding business / margins stipulated by the Exchange / Stock Broker / Commodity Broker, political instability in the Country etc ;
  - (iv) presence of any other price sensitive factors ;
  - (v) failure by the Client to provide / maintain the applicable collateral/margin; and/or
  - (vi) delays by the Client in meeting his/her/its lawful obligation / lawful dues relating to the business / dealings done under this present.
33. REPRESENTATIONS AND WARRANTIES :
- (1) I/We agree that I / We have the required legal capacity and am/are authorized to enter into mandatory and voluntary client registration document and am/are capable of performing my/our obligations and undertakings pursuant to this KYC Form submission and allotment of Client Code by the Stock Broker/ Commodity Broker/VGSPPL.
  - (2) I/We specifically agree that I am /We are trading for my/our own account and shall not act as a Sub-broker of the Stock Broker / Commodity Broker without the prior written permission of the Stock Broker / Commodity Broker and without obtaining the certificate of registration from the Securities and Exchange Board of India

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(SEBI) and/ or respective Exchange(s).

- (3) I /We specifically agree and confirm that all details about me/ us as may be provided vide this KYC form are true and correct and complete in all respect as per my / our knowledge and belief. I/We hereby give this declaration

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to you without any coercion, with sound mind and voluntarily to you which shall be part of my Client Registration Form and In case any information / details found to be false / untrue / misleading / misrepresenting, I am/We are aware that I/We may held liable for it.

34. I /We agree to pay an advance call money for daily mark to mark settlement to VG SPL if the markets or price fluctuations are such that the relevant authority deems it necessary, it may call upon by F&O Clearing Corporation which in its opinion are affected, to deposit with the clearing corporation by such time as specified by the relevant authority, the amount of funds that it estimates will be needed to meet such settlement as may be necessary.

I /We understand and am / are aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my / our client account with you as our broker. Further, these standing instructions are valid from the date the client / trading account is opened with you and will be valid and operational until revoked by me/us.

35. I / We, as a Client shall be responsible for all orders, including orders that may be executed without the required margin, whether or not you as a Commodity Broker intimated me /us about such shortfall in margin, shall instantaneously make up the shortfall either through delivery of shares in the event of sale or credit the required fund in the bank account via personal cheque or money order or account transfer or any other mode accepted to you as per your RMS policy from time to time.

### Request for Online Trading Application

#### The Compliance Officers

Vijit Global Securities Private Limited, Indore

We/I wish to avail following online trading applications facility provided by you. I acknowledge that the trading application facility is chargeable and charges are subject to modify time to time.

Please Tick ( ✓ ) Internet based trading (IBT)  Mobile (wireless) Trading

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

(dd / mm/ yy)

15  \_\_\_\_\_

**VOLUNTARY DOCUMENT - 2 [FOR RUNNING ACCOUNT AUTHORISATION]**

**To VIJIT GLOBAL SECURITIES PRIVATE LIMITED**

I UNDERSTAND THAT THIS IS PURELY A VOLUNTARY DOCUMENT AND SHALL FORM PART OF THE NON-MANDATORY DOCUMENTS OF MY KYC FORM. IN CASE IF THE SAME SHALL DILUTE YOUR RESPONSIBILITY AS A STOCK BROKER OR IN CONFLICT WITH ANY OF THE CLAUSES IN THE MANDATORY DOCUMENTS, RULES, BYE-LAWS, REGULATIONS, NOTICES, GUIDELINES AND CIRCULARS ISSUED BY SEBI AND THE STOCK EXCHANGES / COMMODITY EXCHANGE FROM TIME TO TIME, THE SAME SHALL STAND NULL AND VOID.

1. **About Voluntary Document :** I/We do hereby declare and confirm that I/We have thoroughly read and understood the voluntary document attached which forms part of Non-mandatory Documents of this KYC form and do accord my / our consent for the same .
2. **About Running Account Authorisation:** I/We do hereby specifically declare and confirm that my/our account is to be maintained in Running Account mode and as such request for the same.  
I/We also specifically understand and agree that :
  - (a) This is only a voluntary authorization that may be revoked by me at any time.
  - (b) This authorization shall remain in force until and unless the same is revoked by me.
  - (c) This authorization is signed by me/us only and not by my/our authorized person/POAholder.
  - (d) For my/our outstanding obligation / balance on the settlement date, you may retain the requisite securities available in cusa and pool account / funds towards margin or other obligations in accordance with applicable circulars, guideline, rules, regulations, byelaws etc. of the Exchange and/or SEBI and as may be calculated in the manner specified by the exchanges.
  - (e) I / we request you to settle my funds once in a calendar quarter / once in a calendar month.(Please strike off which is not applicable)
  - (f) Any dispute from my/our end, arising from statement of account for funds and securities or settlement, shall be brought to your notice in writing by me/us preferably within 7 days of receipt of funds/securities /statement as the case may be.
  - (g) Periodic settlement of running account may not be necessary for margin trading facility or funds received from clients towards margin obligation in form of Bank Guarantee, Fixed Deposit etc.
  - (h) In case of my/our request / demand, you shall transfer the funds and securities pledged to clearing corporation/ clearing member within 1 working day if lying with you or within 3 working days if lying with Exchange/Clearing House.
  - (i) There shall not be any inter-client adjustments for the purpose of settlement of my/our running account.
  - (j) I/we will be settled in full after retaining the outstanding/pending obligation in case I/we have not traded for more than 30 days.

16  \_\_\_\_\_

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

**FATCA DECLARATION**

**Do you satisfy any of the criteria mentioned below :**

	Yes	No
a. Citizen of any country other than India (dual / multiple) [including Green card].		
b. Country of birth is any country other than India.		
c. Tax resident of ANY country / ies other than India.		
d. POA or a mandate holder who has an address outside India.		
e. Address or telephone number outside India		

If your answer to any of the above questions is a 'YES', please fill and submit the FATCA DECLARATION available at [www.vijitone.com](http://www.vijitone.com) > Downloads.

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I/We hereby declare and confirm that the details given above are true and correct. Further I /We would like to state that in future if there is any change in my/our tax status (i.e if I / we become tax resident of any other country other than India) then the same will be informed to you and below FATCA Declaration will be submitted to you immediately.

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

**Form for registration and verification of mobile number and email address**

To, The Compliance Officer, Vijit Global Securities Private Limited, Indore

We/I are/ am aware that (NSE/ BSE) provides SMS/email alerts to the constituents (clients) of its member for trades executed on their platform. We/I hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I want to receive transaction alerts in SMS as well as Email from NSE / BSE
- I want to receive transaction alerts in SMS as well as Email from Vijit Group

The alerts should be sent on: Mobile number (enter 10 digit mobile no):

Email ID:

We/I agree to the terms and condition specified by the Exchanges in through their circulars modified from time to time. We/I are/am aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request.

- About Electronic Contract Notes etc. : I/We do hereby request to receive ECN, statement of accounts, daily margin statement and such other record/information/notice etc. to my/our E-mail Account / ID as mentioned in KYC form. In case of any change, I /We shall promptly communicate in writing to you about the same.
- About SMS on mobile by Exchanges/ Member : I/We do hereby declare and confirm to receive SMS about my/our position, margin, ledger balance and such other brief information as may be voluntarily sent / provided by you on my / our mobile no. as mentioned in KYC form. In case of any change therein, I /We shall promptly communicate in writing to you about the same.
- I/We do hereby declare and confirm that the details of e-mail id and mobile no. as may be provided by me/us in KYC form pertains to me / us or to my /our family members only. (family members means my spouse, dependent children, dependent parents only) Accordingly, I/We do hereby request you to upload the same as a part of UCC / UCI details to respective Exchange(s).
- I/We confirm that non-receipt of bounced mail notification by the member shall amount to delivery of contract note at mentioned email id.

Name of the client: \_\_\_\_\_

Client ID: \_\_\_\_\_

Signature

18  \_\_\_\_\_

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

**APPENDIX - A**  
**Electronic Contract**  
**Note [ECN] -**  
**DECLARATION**  
**(VOLUNTARY)**

To,

Vijit Global Securities Private Limited Dear Sir,

I, \_\_\_\_\_ a client with Member

M/s. **Vijit Global Securities Private Limited** of **NSE / BSE** undertake as follows:

- It is inconvenient for me to receive physical contract notes, Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is \_\_\_\_\_. This has been created by me and not by someone else.
- This declaration is valid till further notice/revoked by me.
- I/we solely responsible for the changes made in email id and bring it to the notice of Vijit Global securities at the earliest. Vijit Global securities pvt ltd does not hold responsible for any bounce mail, if the change in email ID not inform to us.

Signature of the client Date:

**Instructions:**

Place:

## **VOLUNTARY DOCUMENT**

- .....
- This declaration form has to be sent by the Member to the client on the email id provided by client while opening the trading account.
  - The client shall, on receipt of this email, print the email as well as the declaration form.
  - The hard copy of the declaration shall be filled up by the client and submitted to the Member along with a signed hard copy of the email. The Member shall acknowledge the receipt of the declaration from the client.
  - The size of the font of this declaration must be at least 12.

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To,  
**Vijit Global Securities Private Limited**  
**CHAMBER "A" 401, AMAR DARSHAN 28/2, OLD PALASIA**  
**INDORE**  
DP ID12095700

**Subject: - Request Regarding BSDA Flag for Demat Account.**

Dear Sir,

I / We do not wish to avail Basic Service Demat Account scheme and I / We want to open/exist our/my account as per the normal account chargeable as per the tariff plan opted by me / us at the time of account opening/new account opened.

I / We am aware that till any further instruction from my / our side; my/our demat account will not be moved to BSDA account.

Thanking You.

Yours Faithfully, Name: \_\_\_\_\_ 7  \_\_\_\_\_

Demat Account: Pan No:

**DECLARATION**

**(Same Email ID & Mobile Numbers)**

I/we (name ..... ) with to use the same email ID/Mobile number as provided by my family member.

Email ID / Mobile No.: .....

Relation : .....

(Signature)

SELF	RELATION
UCC	UCC
Name	Name
Signature	Signature

Note: Only dependent parents, children & spouse are allowed to use same Email ID / Mobile number.

The information given above is true to the best of our knowledge.

Date:

Place:



**Client Declaration Cum Undertaking Regarding Open Interest Positions**

To,

Date:

**Vijit Global Securities Private Limited**

**CHAMBER "A" 401, AMAR DARSHAN 28/2, OLD PALASIA INDORE**

Dear Sir,

**Subject: My/Our request for trading in commodity forward contracts / commodity derivatives on MCX / NCDEX as your client.**

I/We, the undersigned, have taken cognizance of circulars issued by NCDEX/ MCX / SEBI on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NCDEX / MCX / SEBI and such position limits will be calculated in accordance with the contents of above stated circulars modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/ companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative through you or through any other member(s) of NCDEX / MCX to enable you to restrict our position limit as prescribed by the above referred circulars modified from time to time.

Yours faithfully,

I/we undertake that I / we will always fulfill/ deposit the margin required against my outstanding position. I / we further undertake that I/ we will always keep track of online mark to market losses and/ or any Margin of my trades. In case if mark to market loss crosses 70% of the margin I/ we will immediately deposit the sufficient fund through RTGS to cover the accrued mark to market loss and/ or additional Margins imposed by Stock Broker. In case I /we failed to deposit the required fund in time, you may square off my positions at your discretion without any Notice.

Date: \_\_\_\_\_  
(dd / mm/ yy)

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**OPTION FOR ISSUE OF DIS BOOKLET**

Please Tick / Select any one option

**Option 1:**

I/We hereby state that I/ We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I/we have issued a Power of Attorney (POA) / executed PMS Agreement in favor of/with **Vijit Global Securities Private Limited** (name of the Attorney / Clearing Member/ PMS Manager) for executing delivery instruction for setting stock exchanges trades (settlement related transactions) effected through such Clearing Member.

**Option 2:**

I/We do not require the Delivery Instruction Slips (DIS) for the time being, since I /We have issued a POA/ executed PMS agreement in favor of /with **Vijit Global Securities Private Limited** (name of the attorney / Clearing Member / PMS Manager ) for executing delivery instructions for setting stock exchange trade (settlement related transaction) 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.

Signature

14

\_\_\_\_\_  
Sole / First Holder

\_\_\_\_\_  
Second Holder

\_\_\_\_\_  
Thir  
d  
Hold  
er

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

Place:

\_\_\_\_\_

Date:

**Annexure 2.4**

**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 and for all credits as well.]**

**Definitions:**

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

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

**Availability:**

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

**Receiving Alerts:**

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

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

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](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 with out 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**

1	2	0	9	5	7	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(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

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

(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)

Mobile No.		Occupation	
E-mail ID		Income Range	
Mother Name		Nomination	Yes No
Address	<input type="checkbox"/> Yes as per atched doc. <input type="checkbox"/> No		
Verified by Client _____ or _____			

Verified by:

Name	Signature	Date	Time

**DEMAT DEBIT AND PLEDGE INSTRUCTION  
(DDPI)**

(stamped or e-stamped

appropriately)

TO ALL TO WHOM THESE PRESENTS SHALL COME I/ ----- address

----- (Name of the BO, with full address) hold a

Beneficiary account no. -----, with Central Depository Services (India) Limited, with Vijit Global Securities Pvt Ltd. ( a Depository Participant with CDSL bearing DP-ID 12095700 & SEBI registered stock broker having SEBI registration no. INZ000300834, here by authorize Vijit Global Securities Pvt Ltd (VGSP), having its registered office at CHAMBER "A" 401, AMAR DARSHAN Building 28/2, OLD PALASIA Indore or any of its officers or employees as may be delegated by said DP to carry out following exercises for me/us and on my/our behalf and in my/our name from time to time until revoked by me/us in writing given to Vijit Global Securities Pvt Ltd and such revocation shall not affect the validity of any acts, deeds or things done or action taken by Vijit Global Securities Pvt Ltd for discharging any of my/our settlement/ margin obligations in respect of any transactions which is pending on the date of receipt of the notice of revocation by me/us.

Sr. No.	Purpose	Signature (Physical signature or eSign)
1	Transfer of securities held in the beneficial owner accounts of me/us towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchange in any segments to the respective pool accounts of Vijit Global Securities Pvt Ltd	1st holder Signature
		2nd holder Signature
		3rd holder Signature
2	Pledging / re-pledging of securities in favor of Vijit Global Securities Pvt Ltd to the respective Margin Pledge accounts or margin fund pledge accounts of Vijit Global Securities Pvt Ltd as & re-pledging of securities by Vijit Global Securities Pvt Ltd to Clearing Corporations for the purpose of meeting margin requirements of me/us in connection with the trades executed by me/us on the Stock Exchanges in any segments.	1st holder Signature
		2nd holder Signature
		3rd holder Signature
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1st holder Signature 2nd holder Signature 3rd holder Signature
4	Tendering shares in open offers through Stock Exchange platforms	1st holder Signature 2nd holder Signature 3rd holder Signature

I/We accept (For Vijit Global Securities Pvt Ltd )

Date:	Place: Indore	( Authorized Signatories )/Esign:

## POWER OF ATTORNEY

To all the whom those presents shall come We, \_\_\_\_\_ (name of the beneficial owner/s)  
having its registered office \_\_\_\_\_

\_\_\_\_\_. Send Greetings.

WHEREAS I / We hold beneficial owner account number \_\_\_\_\_ with Central Depository Services (India) Limited (CDSL), through **Vijit Global Securities Pvt Ltd** (name of the depository participant) registered with Securities and Exchange Board of India (SEBI)

**And Whereas** I / We am / are desirous to buy and sell securities through **Vijit Global Securities Pvt Ltd . (Member**

of NSE, BSE) (name of the stock broker (s)) who are a stock broker(s) registered with SEBI and member of recognized stock exchange/s.

**And Whereas** I / We am / are desirous of appointing **Vijit Global Securities Pvt Ltd. (Member of NSE, BSE)** (name of the stock broker (s)) as my/our constituted attorney to operate my/our beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I / we do hereby nominate, constitute and appoint **Vijit Global Securities Pvt Ltd. (Member of NSE, BSE)** (name of the stock broker (s)) (hereinafter referred to as "the stock broker(s)") as my true and lawful attorney and authorize if to perform the following functions on my behalf.

- i. to transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker(s) demat account nos. NSE Pool A/c. No. 1209570000020127, INE30133022407099 Early Pay- in-A/c No. 1100001100021759 and margin A/c. No. 1209570000020015 and BSE Pool A/c No. 1209570000020150, INE30133011407111 Early Pay-in A/c No. 1100001000024578 margin A/c. No. 1209570000020021 of the stock broker(s) maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker(s). However, the said power will be restricted to only transfer of securities to the Clearing member ID allotted to the stock broker(s) by any existing or future exchange that the stock broker has joined / will join as a member or to any demat accounts linked to the said Clearing member ID provided that I/we have executed a Client member Agreement with the stock broker(s) for such exchanges.
- ii. to transfer funds from my/our aforementioned bank account of the stock broker(s) only in the following circumstances.
  - a. for meeting my/our settlement obligations/margin requirements in connection with the trades executed by me/us the clients on the stock exchange through the stock broker(s);
  - b. for recovering any outstanding amount due from me/us arising out of my/our trading activities on the stock exchanges through the stock broker(s) and/or depository activities through the depository participant;
  - c. For meeting obligations arising out of my subscribing to such other products/facilities/services through the stock broker(s) like mutual Funds. Public issues (shares as well as debentures), rights, offer of shares in etc.
  - d. Towards monies/fees/charges etc. due to the stock broker(s) payable by virtue of my using / subscribing to any of the facilities / services availed by me at his/her instance.

Signature

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\_\_\_\_\_  
Sole / First Holder

\_\_\_\_\_  
Second Holder

\_\_\_\_\_  
Third Holder



- iii. to pledge the securities in favour of the stock broker(s) for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker(s).
- iv. to return to me/us, the securities or funds that may have been received by the stock broker(s) erroneously or those securities or funds that the stock broker(s) was not entitled to receive from me/us;
- v. to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SmS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- vi. To apply for various products like mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker(s).

I/we ratify the instructions given by the aforesaid stock broker(s) to the depository participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker(s) in his Regd. Office at CHAMBER "A" 401, AMAR DARSHAN Building ,28/2, OLD PALASIA INDORE-452018

Signature	13 <input checked="" type="checkbox"/> _____ Sole / First Holder	<input checked="" type="checkbox"/> _____ Second Holder	<input checked="" type="checkbox"/> _____ Third Holder
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\_\_\_\_\_

Signed and delivered  
by the within named Beneficial Owner's

**Name :**  
**Address:**

In the presence of witness.

**Name:**  
**Address:**

We Accept:

**Vijit Global Securities Pvt Ltd .**

CHAMBER "A" 401, AMAR DARSHAN Building ,  
28/2, OLD PALASIA INDORE-452018

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

## Acknowledgement

From, Name of Client: \_\_\_\_\_

Client Code: \_\_\_\_\_ Address: \_\_\_\_\_

To

**Vijit Global Securities Private Limited**

**CHAMBER "A" 401, AMAR DARSHAN 28/2, OLD PALASIA INDORE**

**Sub: Acknowledgement of KYC and other documents**

- 1) I / we do hereby confirm the receipt of copy of the duly completed KYC documents, Tariff sheet, policies and procedures right and other mandatory and voluntary client registration documents executed by me/us as your client. I further confirm that i have received the **Rights and Obligations of Beneficial Owner & Depository Participant and Stock Broker Sub Broker & Client as prescribed by SEBI**, Risk Disclosure Documents, Guidelines note, Do and Don't, Terms and Conditions for availing transaction Using Secured Texting (TRUST) Service Offered by CDSL, Policies and Procedures as per sebi Circular No. mirsd / se /cir-19/2009 Dated 3 Dec, 2009, Basic information about aml measures for general guidance of clients on my E-mail ID.
- 2) I/we do hereby confirm the receipt of the tariff sheet, trading code/unique client code allotted to me/us the E-mail ID furnished by me/us for the purpose of receiving electronic contract notes, statement of accounts, or any communication from the member or any other documents and as such I have noted the User ID and Password given to me/us for the operations of the same through your website.
- 3) In case of non-receipt of the above or user ID & password for tracking any transaction through your Website: **www.vijitone.com** I/we will promptly notify your compliance officer on **vrvamp127@gmail.com** or Phone: **9981119945**

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

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# Vijit Global Securities Private Limited

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Registered office address: CHAMBER "A" 401, AMAR DARSHAN 28/2, OLD PALASIA INDORE

Phone : 0731-4006956

GST No :

23AACCR5344R1ZZ

Website: [www.vijitone.com](http://www.vijitone.com)

CIN:

U67921MP1999PTC013816

Email ID: [vrvamp127@gmail.com](mailto:vrvamp127@gmail.com)

