



**DP TradeKING**<sup>®</sup>  
Private Limited



Registered Entity  
INZ000097030 | IN-DP-318-2017



Member TM Code : 90100  
CM | FO | CD | CO | SLBM | MFSS



Member Clrg. Code : 6650  
CM | MF



**NSDL**  
Technology, Trust & Reach

Depository Participant  
DP ID : IN304182



Member  
ARN : 109938 | EUIN : E176309



Registered Agent  
Life, Health & General Insurance

# Client Registration Form

Client Registration form for DEMAT and Trading Account (Combined form for NSE, BSE & DP-NSDL)

1 <sup>st</sup> Holder / Client Name	<input type="text"/>		
2 <sup>nd</sup> Holder Name	<input type="text"/>		
3 <sup>rd</sup> Holder Name	<input type="text"/>		
Branch Code	<input type="text"/>	AP Code	<input type="text"/>
Introducer Code	<input type="text"/>	Dealer Code	<input type="text"/>
Form No.	<input type="text"/>	Category of A/c	<input type="radio"/> Individual <input type="radio"/> Non-Individual
Type of A/c	<input type="radio"/> Only DEMAT <input type="radio"/> Only Trading <input type="radio"/> Combined		
Trading A/c No.	<input type="text"/>	DEMAT A/c No.	<input type="text"/>

*This page to be kept blank*





# DP TradeKING Private Limited

Regd. Office : 3<sup>rd</sup> Floor, Silver Oak, Opp. Panchal hall, Town Hall Road, Anand -388 001.(Guj.) INDIA.  
Ph.:02692-247502, Email: demat@dptradeking.com, Website : www.dptradeking.com

**DP ID: IN304182**



## REQUISITION SLIP FOR INSTRUCTION BOOKLETS

Re: My/Our Client Id.

Date: / /

1. Kindly issue a new booklet(s) for (please tick the instruction booklet(s) you want)

Type of Instruction Booklet	No. of Leaves	Sr. No. From	Sr. No. To
Delivery Instruction by Client (Annexure-LA)			

2. I/We authorized Mr./Mrs./Mr. \_\_\_\_\_ the bearer of this requisition slip to collect the above booklet(s) on my/our behalf at my/our risk and responsibility. The bearer's signature attested by me us.

3. DP TradeKING Private Limited to dispatch the booklet(s) through courier at my/our risk and responsibility.

Received the above mentioned Instruction Booklet(s)

\_\_\_\_\_ (Bearer/Receiver's Signature)

\_\_\_\_\_ (Date and Time of Receipt)

DP TradeKING Private Limited			
Range From		Range To	
Issue Date		Auth. Sign.	

1. ....

2. ....

3. ....

(Signature of Account Holder/s)



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Ph.:02692-247502, Email: demat@dptradeking.com, Website : www.dptradeking.com

**TM CODE : 90100 (NSE) | CLEARING CODE : 6650 (BSE) | DP ID : IN304182 (NSDL)**

## Acknowledgment of receipt of Trading and Demat Account

We, DP TradeKING Private Limited acknowledge of the receipt of an application of Trading and Demat Account opening form

Following are the details of an account :

☐ Trading + Demat ☐ Only Trading ☐ Only Demat

First Holder Name : \_\_\_\_\_

Second Holder Name : \_\_\_\_\_

Third Holder Name : \_\_\_\_\_

Branch Code :  Introducer Code :  Date of Receipt :

For, DP TradeKING Private Limited

Authorised Signatory

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# KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Name of KYC Verifier : \_\_\_\_\_ Employee Code : \_\_\_\_\_

<b>I. General</b> <input type="checkbox"/> Passport size photo & Signed across <input type="checkbox"/> PAN Card (Mandatory) <input type="checkbox"/> In person verification in KYC <input type="checkbox"/> Original seen and verified stamp on all docs <input type="checkbox"/> Witness Signature & Address <input type="checkbox"/> All Copies Self Attested	<input type="checkbox"/> KRA document used*  (*Email Id & Phone number to be provided on given KRA document)
<b>II. Additional Proof of Identify (Any One)</b> <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Valid Passport <input type="checkbox"/> Valid Driving License <input type="checkbox"/> Voter ID <input type="checkbox"/> Any other Supporting doc; _____	
<b>III. Proof of Permanent / Correspondence address</b> <input type="checkbox"/> Ration Card <input type="checkbox"/> Valid Passport <input type="checkbox"/> Valid Driving License <input type="checkbox"/> Voter ID <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Gas bill <input type="checkbox"/> Tel. Land line Bill <input type="checkbox"/> Bank Verification Letter <input type="checkbox"/> Electricity Bill <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Registered Lease or Sale Agreement <input type="checkbox"/> Bank Statement *Utility Bills and Bank Proof should not more than 3 months old Any other Supporting doc; _____	<input type="checkbox"/> KRA document address used
<b>IV. Bank Proof With MICR / IFSC Code (Needed for 1st Holder only)</b> <input type="checkbox"/> Original Pre printed Cancelled cheque / Copy of preprinted margin cheque leaf <input type="checkbox"/> Bank Statement <input type="checkbox"/> Pass book	
<b>V. Demat Proof (Needed for 1st Holder only)</b> <input type="checkbox"/> Client Master <input type="checkbox"/> DP Statement <input type="checkbox"/> Transaction/Holding Statement <input type="checkbox"/> Welcome Letter	
<b>VI. Financial Documentary Proof (Mandatory for F &amp; O / Currency Segments) (Needed for 1st Holder only)</b> <input type="checkbox"/> Copy of ITR Acknowledgement <input type="checkbox"/> Bank account statement for last 6 months <input type="checkbox"/> Net worth certificate <input type="checkbox"/> Copy of Form 16 in case of salary income <input type="checkbox"/> Salary Slip <input type="checkbox"/> Copy of demat account Holding statement.	

## SIGNATURE GUIDELINES

### IMPORTANT NOTE

#### 1. Signature Types:



Signature of Client / First Holder



Signature of Trading A/c Holder



Signature of SB / AP / Introducer



Signature of Second Holder



Signature of First Witness



Signature of Nominee



Signature of Third Holder



Signature of Second Witness



Signature of Guardian

2. In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature.





Regd. Office :

**DP TradeKING Private Limited**

3<sup>rd</sup> Floor, Silver Oak, Opp. Panchal Hall, Town Hall Road, Anand - 388 001.

Ph. +91 2692 246500, Fax +91 2692 246066

## ACCOUNT OPENING KIT : INDEX OF DOCUMENTS

Sr. No.	Name of Document Brief	Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Instructions	Instruction/check list for filling KYC form	1
2	KYC Form-Basic Infromation	Document captures the basic information about the client.	2-3
3	Details for Trading a/c opening	Document captures the additional information about the client relevant to trading account.	4-6
4	Basic Details for Demat a/c opening	Document captures the additional information about the client relevant to demat account.	7-10
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	11-13
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and depository services provided by DP.	14-15
7	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).	Provided in separate booklet
		Rights and obligations of the Beneficial Owner and Depository Participant	
8	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
9	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER AND DP*			
10	Online Trading	Enabling Online Trading & Mobile Trading	16
11	Voluntary Terms & Conditions	Additional terms & conditions specific to clients for the purpose of operational efficiency.	17-19
12	Power of Attorney	To be provided to broker to facilitate pay in of securities of client	Separate Annexure
13	Authority Letter to retain fund as running account	For operational efficiency and convenience, this authorization is required to maintain the client account for the funds on running account basis.	20
14	Write up on AML measures	Some basic information to client about Anti money laundering measures	21
15	Client Defaulter Declaration	Client confirmation for no default, if applicable	22
16	Disclaimer for Research related services	Declaration for research activities	22
17	Mutual Fund Trading Facility	Authority for trading in Mutual fund facility on MFSS Platform provided by NSE exchange.	23
18	Declaration by NRI client	Declaration from NRI client	24

\* In all the voluntary / non mandatory documents, if executed by client, the client shall always have right to withdraw/cancel the authority or the voluntary/non-mandatory documents and in case voluntary / non mandatory documents/clauses, are found 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, shall stand null and void.



Name of stock broker/trading member/clearing member: **DP TradeKING Private Limited**

SEBI Registration Nos. and date:

		SEBI Regn. No.	TM Code/DP ID
<b>National Stock Exchange of India Ltd. (NSE)</b>	Cash	INZ000097030	90100
	F&O (Equity Derivatives)	INZ000097030	90100
	Currency Derivatives	INZ000097030	90100
	Securities Lending & Borrowings	INZ000097030	90100
<b>Bombay Stock Exchange Ltd. (BSE)</b>	Cash	INZ000097030	6650
	F&O (Equity Derivatives)	INZ000097030	6650
<b>National Securities Depository Ltd. (NSDL)</b>	N.A.	IN-DP-NSDL-318-2017	IN304182

Registered and Correspondence office address:

**DP TradeKING Private Limited** 3<sup>rd</sup> Floor, Silver Oak, Opp. Panchal Hall, Town Hall Road, Anand - 388 001. (Gujarat)

Ph: **+91-2692-246500** Fax: **+91-2692-246066** Website: [www.dptradeking.com](http://www.dptradeking.com)

**Compliance Officer** : Mr. Bhavik D. Patel Ph. +91 2692 247966 Email: [compliance@dptradeking.com](mailto:compliance@dptradeking.com)

**Managing Director** : Mr. Dikul J. Patel Ph. +91 2692 247966 Email: [dikul@dptradeking.com](mailto:dikul@dptradeking.com)

**Professional Clearing Member for NSE (Currency Derivatives Segment) and BSE (Future & Option Segment)**

**IL&FS Securities Services Limited**

IL&FS House, Raheja Vihar, Chandivali, Andheri (E), Mumbai - 400 072.

Ph.: +91-22-28570965, Fax: +91-22-28570983

SEBI Reg. No. : INF231133630 (NSE F&O)

(Clearing Member for NSE futures & Options Segment)

SEBI Reg. No.: INE231308334 (NSE CDS)

(Clearing Member for NSE Currency Derivatives Segment)

SEBI Reg. No.: INF011133834 (BSE F&O)

(Clearing Member for BSE Future & Option Segment)

For any grievance/dispute please contact DP TradeKING Private Limited at the above address or

email id - [grievance@dptradeking.com](mailto:grievance@dptradeking.com) and Phone no. **+91 99091 47774**.

**In case not satisfied with the response, please contact**

**National Stock Exchange of India Ltd.** at Exchange Plaza, Plot no. C/1, G Block, Bandra-Kurla Complex, Bandra (E)

Mumbai - 400 051, Email: [ignse@nse.co.in](mailto:ignse@nse.co.in) and Ph.: +91-22-26598173, Fax: +91-22-26598191,

Toll Free No. 1800 22 0058

**Bombay Stock Exchange Ltd.** at PhirozeJeejeebhoy Towers Dalal Street Mumbai- 400001, Email: [is@bseindia.com](mailto:is@bseindia.com),

Ph.: +91-22-2272809, Fax: +91-22-22723677, Email : [is@bseindia.com](mailto:is@bseindia.com)

Contact information for various division(s) in broking operation of **DP TradeKING Private Limited** is as under:

Division	Direct Phone No.	Email ID
Trading	+91 2692 247281/82/83, +91 99241 32726	<a href="mailto:broking@dptradeking.com">broking@dptradeking.com</a>
Accounts	+91 2692 247502	<a href="mailto:finance@dptradeking.com">finance@dptradeking.com</a>
Depository Services	+91 2692 246500	<a href="mailto:demat@dptradeking.com">demat@dptradeking.com</a>
Risk Management Services	+91 2692 247501	<a href="mailto:rms@dptradeking.com">rms@dptradeking.com</a>
Internet and Mobile Trading	+91 2692 247281	<a href="mailto:it@dptradeking.com">it@dptradeking.com</a>
Mutual Funds	+91 2692 247502	<a href="mailto:mf@dptradeking.com">mf@dptradeking.com</a>
Complaint/Grievance	+91 2692 247966	<a href="mailto:grievance@dptradeking.com">grievance@dptradeking.com</a>
Feedback/Service Request	+91 2692 247966	<a href="mailto:info@dptradeking.com">info@dptradeking.com</a>



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

### B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission).

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected.)

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

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

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



# CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

## Important Instructions:

- A) Fields marked with '\*' are mandatory fields.  
B) Please fill the form in English and in BLOCK letters.  
C) Please fill the date in DD-MM-YYYY format.  
D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
F) List of two character ISO 3166 country codes is available at the end.  
G) KYC number of applicant is mandatory for update application.  
H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



<b>For office use only</b>	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number	<input type="text"/>	
	Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers)
		<input type="checkbox"/> Small	

## 1. PERSONAL DETAILS (Please refer instruction A at the end)

Prefix	First Name	Middle Name	Last Name
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )	
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin	
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)
	<input type="checkbox"/> B-Business		
	<input type="checkbox"/> X- Not Categorised		

**PHOTO**

Signature / Thumb Impression

## 2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

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

ISO 3166 Country Code of Jurisdiction of Residence*	<input type="text"/>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<input type="text"/>
Place / City of Birth*	<input type="text"/>
ISO 3166 Country Code of Birth*	<input type="text"/>

## 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

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

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

## 4. PROOF OF ADDRESS (PoA)\*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)	<input type="checkbox"/> Others	<input type="text"/>
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	<input type="text"/>
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

## Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>



☐ 4.2 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 fill 'Annexure A1')

Line 1*																				
Line 2																				
Line 3																				
District*						Pin / Post Code*						State / U.T Code*			ISO 3166 Country Code*					

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

☐ Same as Current / Permanent / Overseas Address details

☐ Same as Correspondence / Local Address details

Line 1*																				
Line 2																				
Line 3																				
State*						ZIP / Post Code*						ISO 3166 Country Code*								

☒ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)						Tel. (Res)						Mobile									
FAX						Email ID															

☒ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person

☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor

☐ Assignee

☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

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)

<input type="checkbox"/> A- Passport Number											Passport Expiry Date	DD - MM - YYYY				
<input type="checkbox"/> B- Voter ID Card																
<input type="checkbox"/> C- PAN Card																
<input type="checkbox"/> D- Driving Licence											Driving Licence Expiry Date	DD - MM - YYYY				
<input type="checkbox"/> E- UID (Aadhaar)																
<input type="checkbox"/> F- NREGA Job Card																
<input type="checkbox"/> Z- Others (any document notified by the central government)											Identification Number					
<input type="checkbox"/> S- Simplified Measures Account - Document Type code											Identification Number					

☒ 7. REMARKS (If any)


8. APPLICANT DECLARATION

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

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

Date : DD - MM - YYYY

Place :



Signature of Applicant :

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date	DD - MM - YYYY									
Emp. Name										
Emp. Code										
Emp. Designation										
Emp. Branch										

[Employee Signature]

INSTITUTION DETAILS

Name										
Code										

[Institution Stamp]



**BANK ACCOUNT DETAILS OF APPLICANT**

Bank Name \_\_\_\_\_ Branch \_\_\_\_\_  
 Address \_\_\_\_\_  
 City \_\_\_\_\_ Pincode \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_  
 Bank A/c No. \_\_\_\_\_ Bank A/c Type ☐ Savings ☐ Current  
 9 Digit MICR No. (As mentioned in cheque) \_\_\_\_\_ ☐ Overdraft ☐ CC / Overdraft  
 IFSC Code \_\_\_\_\_ In case of NRI ☐ NRE ☐ NRO  
 Authority to remit funds payout electronically into client's bank account (Optional) ☐ Yes ☐ No

I / We request you to deposit my / our payout in respect of my / our transactions directly to above mentioned bank account (provided such facility is available) or any other bank account which I / We may intimate from time to time.

**IN CASE OF NRI**

PIS Approval No. : \_\_\_\_\_

PIS Approval Date : \_\_\_\_\_

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

\*In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

**DEPOSITORY ACCOUNT(S) DETAILS****1<sup>st</sup> Preferred A/c Common for pay-in & pay-out**

Depository Name ☐ NSDL ☐ CDSL DP Name \_\_\_\_\_

DP ID \_\_\_\_\_ Beneficiary A/c No. \_\_\_\_\_

In case of NRI ☐ NRE ☐ NRO

1<sup>st</sup> \_\_\_\_\_

2<sup>nd</sup> \_\_\_\_\_

3<sup>rd</sup> \_\_\_\_\_

**2<sup>nd</sup> Preferred A/c Common for pay-in & pay-out**

Depository Name ☐ NSDL ☐ CDSL DP Name \_\_\_\_\_

DP ID \_\_\_\_\_ Beneficiary A/c No. \_\_\_\_\_

In case of NRI ☐ NRE ☐ NRO

1<sup>st</sup> \_\_\_\_\_

2<sup>nd</sup> \_\_\_\_\_

3<sup>rd</sup> \_\_\_\_\_

**PAST ACTION**

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:

\_\_\_\_\_

\_\_\_\_\_

**OTHER DETAILS**

Gross Annual Income Details (Please tick (✓) ): ☐ Below 1 Lakh ☐ 1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ > 25 Lakh OR  
 Net-worth in Rs. \_\_\_\_\_ as on (date) 

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

Occupation (Please tick ( ) any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired

☐ Housewife ☐ Student ☐ Forex Dealer ☐ Landlord ☐ Other (Please Specify) \_\_\_\_\_

Please tick, if applicable : ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person









For definition of PEP, please refer instruction No. 11 of KRA

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



**TRADING PREFERENCE**

Please write exchange, segment & signature in the relevant box(s) where you wish to trade. The segment not chosen should be strike off by the client.

NSE CASH			BSE CASH		
NSE F&O			BSE F&O		
NSE CDS			NSE MFSS		
NSE SLB			BSE STAR MF		

# 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 stockbroker.

Whether you wish to avail of the facility of  
Internet Base Trading (Optional)

☐ Internet Trading  
☐ NoW (Online)

☐ NoW Mobile

**DEALING THROUGH SUB-BROKER / AP AND OTHER STOCK BROKERS**

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

Sub-broker's / AP Name \_\_\_\_\_

SEBI Registration No. \_\_\_\_\_

Registered office address \_\_\_\_\_

Contact Details : Tel. No. \_\_\_\_\_ Fax No. \_\_\_\_\_ Website \_\_\_\_\_

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

Name of stock broker \_\_\_\_\_

Name of sub-broker/AP if any \_\_\_\_\_

Client Code \_\_\_\_\_ Exchange \_\_\_\_\_

Details of disputes/dues pending from/to such stock broker/sub-broker/AP \_\_\_\_\_

**CONTRACT NOTE PREFERENCE/EMAIL-SMS ALERT/OTHER DETAILS**

Whether you wish to receive ☐ Physical Contract Note OR ☐ Electronic Contract Note

Specify your Email ID, If Applicable \_\_\_\_\_

Whether you wish to receive Trade Confirmation/IPO Alerts/Market Alerts ☐ YES ☐ NO

Alert should be send on : Mobile No. +91

Investment/Trading Experience ☐ Yes ☐ No Prior Experience

If YES, Number of years of Investment/Trading Experience \_\_\_\_\_ YEARS

**INTRODUCER DETAILS**

Introduced by ☐ Sub Broker ☐ Remisier ☐ Authorised Person ☐ Existing Client  
☐ Others (please specify) \_\_\_\_\_

Name of the Introducer \_\_\_\_\_

Address & Tel. No. \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Mobile No. \_\_\_\_\_

**SB/AP**  


Signature of Introducer



**SUB-BROKER/AUTHORISED PERSON DECLARATION**

In case introduced by Sub-broker/Authorised Person:

I/we here by confirm that I/we verified the identity & bonafides of the client. I/We undertake to ensure prompt settlement of the transaction carried out by the client and also extend full co-operation to DP TradeKING Private Limited to facilitate their smooth dealings with this client. I/We shall also ensure that all the dealings with the client are as per the Rules/Regulations/Bye-laws of Exchanges/SEBI. Further I/We undertake to abide by the operational policies and procedures of DP TradeKING Private Limited and also the terms of the agreement entered into by me/us with DPTKPL.

Signature of the Sub-broker/Authorised Person (with Stamp)



Date 

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

**FOR OFFICE USE ONLY**

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

Employee Details	Documents verified with Original	Client Interviewed by	In-Person Verification done by
Name			
Code			
Designation			
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, **DP TradeKING Private Limited**

**Signature of Authorised Signatory**

Date 

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

Seal/Stamp of intermediary



## DEMAT ACCOUNT OPENING DETAILS

DP Internal Reference No.

Date 

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

NSDL DP ID : **IN304182** Client ID 

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I/We request you to open a demat account in my/our name as per following details. (To be filled by the applicant in **BLOCK LETTERS** in English)

## HOLDER's DETAILS

Sole / First Holder's Name	Middle Name	Surname	PAN No. :	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>								
<b>Occupation</b> <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others(Please Specify) Nature of Business												
Second Holder's Name	Middle Name	Surname	PAN No. :	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>								
<b>Occupation</b> <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others(Please Specify) Nature of Business												
Third Holder's Name	Middle Name	Surname	PAN No. :	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>								
<b>Occupation</b> <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others(Please Specify) Nature of Business												

## TYPE OF ACCOUNT in DP (Please Tick whichever is applicable)

Individual	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> Minor	<input type="checkbox"/> Others (Specify)
NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non Repatriable	
Foreign National	<input type="checkbox"/> FN	<input type="checkbox"/> FN Promoter	
Qualified Foreign Investor	<input type="checkbox"/> Individual	<input type="checkbox"/> Foreign Portfolio Investor (Individual)	

## STANDING INSTRUCTIONS

I/We instruct the DP to receive each and every credit in my / our account (Automatic Credit) (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA)	<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 type="checkbox"/> Monthly (As per SEBI guidelines Account Statement will be free of cost and other than that it is chargeable time to time)		
I/We request you to send Electronic Transaction-cum-Holding Statement at the (As per E-Mail ID provided in KYC form)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Digital (Tick the applicable box. If not marked, the default option would be in 'Digital')		
SMS Alert Facility (Mandatory, if you are giving Power of Attorney (POA)) (As per Mobile Number provided in KYC form)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We wish to receive Dividend / Interest directly in to my bank account as given through ECS. (If not marked, the default option would be 'Yes') (ECS is mandatory for locations notified by SEBI from time to time)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

## Guardian Details (where sole holder is a minor)

[For account of a minor, two KYC Application forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name																		
PAN	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																	
Relationship of guardian with minor																		
Address																		
	Pin Code <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																	
Date of Birth (of minor)	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y									
D	D	M	M	Y	Y	Y	Y											





**NOMINATION DETAILS (FOR INDIVIDUAL ONLY)**

I/We the sole holder / joint holders / guardian (in case of Minor) hereby declare that;

- ☐ I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.
- ☐ I/We do not wish to make a nomination.

Nomination can be made upto three nominees in the account.		Details of 1-Nominee	Details of 2-Nominee	Details of 3-Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally [If not equally, specify %]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s)			
	PIN Code			
5	Mobile/Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details – [Please tick any one of following and provide details of same] Photograph & Signature      PAN Aadhaar      Saving Bank account no. Proof of Identity      Demat Account ID			
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>				
8	Date of Birth (if nominee is minor)			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }			
10	Address of Guardian(s)			
	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] Photograph & Signature      PAN Aadhaar      Saving Bank account no. Proof of Identity      Demat Account ID			

	First Witness	Second Witness
Name		
Address		
Signature	FW 	SW 



To receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. This nomination is in accordance with the section 109 A of the Companies Act, 1956, and shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

**FH** First Holder's Signature

**SH** Second Holder's Signature

**TH** Third Holder's Signature

(To be filled by DP) Nomination accepted and registered wide Registration.

For, **DP TradeKING Private Limited**

No. \_\_\_\_\_ Dated 

D	D	M	M	Y	Y	Y	Y
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**Authorised Signatory**

#### DECLARATION BY BANK

I hereby declare that Mr./Ms. \_\_\_\_\_ Has a Saving/Current A/c. \_\_\_\_\_ with Bank \_\_\_\_\_

Bank Address \_\_\_\_\_

He/She has signed across the photographs on the application form for opening Depository account with DPTKPL, in my presence.

Date : 

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

Bank Seal

Signature & Designation of Bank Official

#### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website i.e. [www.dptradeking.com](http://www.dptradeking.com)
4. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant."
5. I/We have received and read the 'Rights and Obligations' document(s) 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 agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me/us in this form. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

	Name(s) of holder(s)	Signature(s)
Sole/First Holder (Mr./Ms.) Guardian (in case of minor)		<b>FH</b>
Second Holder (Mr./Ms.)		<b>SH</b>
Third Holder (Mr./Ms.)		<b>TH</b>

Date 

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

Place \_\_\_\_\_





Client Code : \_\_\_\_\_ Date : \_\_\_\_\_

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

To,

**DP TradeKING Private Limited**

3rd Floor, Silver Oak, Opp.

Panchal Hall, Town Hall Road,

Anand - 388 001, Gujarat, INDIA.

Dear Sir,

Sub: To avail the SMS and E-mail alerts facility by NSE &amp; BSE.

With the reference of SEBI circular No. CIR/MIRSD/15/2011 dated August 02, 2011; NSE Circular No. NSE/INVG/19135 dated October 14, 2011 and BSE Notice No. 20110809-19 dated August 09, 2011. I/We wish to avail the following facility (ticked in the box):

I hereby declare that I do not have

☐

Mobile No.

☐

Email ID

**OR**a. SMS : ☐

Request to send alerts on following communications.

b. E-mail : ☐**Mobile No.** : c. SMS and E-mail : ☐**Email ID** : 

Mobile Number or Email Registered in the name of

☐

Self

☐

Other Persons


In case of registered in the name of any other person please specify the following:

a. Name of the Person : \_\_\_\_\_

b. Relationship with the Person : ☐ Spouse ☐ Dependent Child ☐ Dependent Parent

Aforesaid Mobile Number and E-mail Id are also used for / by your following clients (my relations), who also wish/es to avail the aforesaid ticked facility, and as per requirement, my PAN be recorded as Master PAN in the Client Registration System of NSE/BSE:

Sr. No.	Relationship	Name	Client Code	PAN No.	Signature
1.	Spouse				
2.	Dependent Father / Mother				
3.	Dependent Children	1.			
		2.			



Signature of Applicant :



This policy governs Member-Client relationship, i.e. relations between stock broker and client: This has reference to your trading account maintained with us and Know Your Customer (KYC) norms specified by Securities and Exchange Board of India (SEBI) vide their circular No. MIRSD/ SE /CIR-19/2009 dated December 03, 2009. Aforesaid circular warrants DP TradeKING Private Limited to bring into notice of all broking clients the Policies & Procedures adopted by DP TradeKING Private Limited. The client is requested to please take notice of our policies and procedures given herein below.

DP TradeKING Private Limited shall be at liberty to change the below given policies and procedures without giving any reason and the client shall be informed by the possible mode of communication including Website of DP TradeKING Private Limited: [www.dptradeking.com](http://www.dptradeking.com). Updated Policy and Procedures is made available on Website of DP TradeKING Private Limited: [www.dptradeking.com](http://www.dptradeking.com). The decision of DP TradeKING Private Limited will be binding to client. The client has to get himself updated from the policy and procedure which available on Website of DP TradeKING Private Limited

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

For the safety of client, brokers and market as a whole, policy of DP TradeKING Private Limited policy to refuse orders for penny stocks is as under;

- a. DP TradeKING Private Limited will prepare list of penny stocks based on certain criteria and publish the list of penny stocks on Website of DP TradeKING Private Limited and will be updated from time to time. Such list will inter-alia includes but shall not be restricted to the list of illiquid securities declared by the stock exchange or any other Regulatory Authority or infrequently traded stocks/contracts etc. In general terms, a penny stock is a low-priced and/or a speculative security, may be of a very small company, regardless of its market capitalization. Decision of the DP TradeKING Private Limited will be final.
- b. DP TradeKING Private Limited may at its discretion refuse to execute any buy or sell order of the client in penny stock in-toto or by imposing higher margin percentage and/or demanding advance payment of expected settlement value/delivery of penny stock, if DP TradeKING Private Limited is of the view that such execution would adversely affect market integrity or give rise to regulatory /disciplinary actions/ concerns.

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

The client will have to abide by the exposure limits, if any, set by DP TradeKING Private Limited or by the exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that such exposure limit whether on the buy or the sell side, may operate specific to a security or contract and/or on an aggregate basis or based on need of DP TradeKING Private Limited need to vary or reduce or impose new limits urgently on the basis of assessment of the associated risks perception of DP TradeKING Private Limited, risk profile of the client and other factors considered relevant by DP TradeKING Private Limited 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.). DP TradeKING Private Limited may be unable to inform the client of such variation, reduction or imposition in advance. DP TradeKING Private Limited, from time to time, shall also be entitled to

squareoff/liquidate/sale/close the position(s) and/or stock as it may deem fit without any reference to the client, in case the client fails to maintain/deposit minimum margin as required by DP TradeKING Private Limited. The client agrees that DP TradeKING Private Limited shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through trading system of DP TradeKING Private Limited on account of any such variation, reduction or imposition of limits. The policy will be at the discretion of DP TradeKING Private Limited based on margin availability, selection of the scrip, component of cash and securities, past track records of the client, volatility in the market and other factors considered relevant by DP TradeKING Private Limited. Exposure limit of the client will be set by Risk Management & Surveillance (RMS) Department of DP TradeKING Private Limited on the basis of above criteria and will vary from time to time due to conditions mentioned above. It will be duty of client to find out for the exposure limit set, from Risk Management & Surveillance (RMS) Department of DP TradeKING Private Limited, and the client will have to keep himself informed on regular basis.

### 3. Applicable Brokerage Rate

Brokerage may vary from client to client on the basis of client profile. Brokerage will be charged within the maximum limits prescribed by SEBI/Exchanges from time to time. The rate of brokerage will be charged as mutually agreed with the client and the client will be informed by suitable communication mode. The details of applicable brokerage and all statutory dues/levies will be made available on Website of DP TradeKING Private Limited and the client has to update himself/herself/itself about he applicable brokerage and all statutory due/levies from Website of DP TradeKING Private Limited.

- a. For Cash/Futures Segment:

The maximum brokerage chargeable in relation to trades executed in the securities admitted to dealings on the Capital Market segment of the Exchanges shall be 2.5 % of the contract price, exclusive of statutory levies/dues. It is hereby further clarified that where the sale / purchase value of a share is Rs. 10/- or less, the maximum brokerage of 25 paise per share may be collected.

- b. For Options contracts:

Brokerage for options contract would not exceed Rs.100/- per lot on single side or such other rates as provided by the exchanges. The maximum brokerage limit may vary as specified by Stock Exchange or SEBI or other Regulatory Authority. The brokerage shall however be exclusive of the following charges which the client shall also pay:

- i. Service Tax and Education Cess
- ii. Securities Transaction Tax
- iii. SEBI/Exchange/Clearing member charges
- iv. Stamp Duty
- v. All applicable tax/Government Levies/ Statutory Levies prevailing at present and may be imposed by Government or Statutory Authority from time to time
- vi. Statutory charges payable to SEBI/Exchange/ Clearing member, Authorities etc.
- vii. DP Annual Maintenance charges
- viii. Account opening charges
- ix. Other Charges/Fees as may be deemed fit by DP TradeKING



Private Limited after duly notifying to client, which is not in contradictory to the acts/rules/regulation/bye-laws of the Exchange/SEBI prevailing at present and changed from time to time

**4. Imposition of penalty/delayed payment charges** by either party, specifying the rate and the period Client shall be liable to charges on non-payment of margin money, short selling of securities or units, failure on payment of auction, charges for dishonor of cheque(s) given by the client, non delivery of shares, auction charges, penalties levied by the Exchanges for client limit violation, increased open position or on any orders / trades / deals / actions of the client which are contrary to rights and obligations, policies and procedures and other voluntary documents, if executed / 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. The Client shall pay DP TradeKING Private Limited fees, account opening/ maintenance charges, charges for availing research reports, charges for availing special facility for mobile broking/SMS facility or any other charges for special services/facilities availed by the Client including but not limited to charges related to opening/ maintaining and/or carrying out demat related activities through a demat account maintained with DP TradeKING Private Limited, inter settlement charges etc. as applicable from time to time. Similarly in case of non receipt of any amount due either full payment of value of delivery purchased and margin imposed (initial + MTM + Exposure) towards trading or on account of any other reasons, to DP TradeKING Private Limited, delayed payment will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money/margin.

DP TradeKING Private Limited may, as per prevailing rules/regulation/bye-laws of the stock exchange/SEBI/ other Regulatory Authority, keep the unutilized margin deposits of the client in bank deposits and pay interest on the same at such rate as may be mutually agreed in writing between DP TradeKING Private Limited and the client, out of the interest accrued on the said deposits. The client cannot demand interest on unutilized margin deposits kept with DP TradeKING Private Limited. It will be at the sole discretion of DP TradeKING Private Limited to pay interest on unutilized margin deposits kept by client with DP TradeKING Private Limited and that also subject to expressly agreed upon with the client on case to case basis which is duly notified to client in writing.

List of the penalty, charges will be displayed on Website of DP TradeKING Private Limited and keep on changing from time to time and updated on Website of DP TradeKING Private Limited from time to time. It is the duty of the client to get himself aware of the list of charges and penalty from Website of DP TradeKING Private Limited. All fines/penalties and charges levied upon the Client due to its acts /deeds or transactions will be recovered by DP TradeKING Private Limited directly from the client's account. The Client hereby authorizes DP TradeKING Private Limited to directly debit the delayed payment charges to his account, at the end of month / such other interval as may be decided by DP TradeKING Private Limited. The Client also agrees that any amount overdue from him/her (including the interest on delayed payment) shall be offset against the dues owed by DP TradeKING Private Limited to the Client.

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 As per rules/regulation and bye laws of the exchange, it is the duty of the client to pay margin and funds or securities obligation to DP TradeKING Private Limited. In case the client fails to deposit the fund, securities including but not limited to settlement and margin payment due to DP TradeKING Private Limited before pay-in date notified by the Exchange from time to time, DP TradeKING Private Limited reserves right to sell client securities or close

client position as per policy of DP TradeKING Private Limited without notice to client, after taking into account any amount lying to the credit of the Client. DP TradeKING Private Limited may, in its sole discretion, square off any outstanding position(s) of the client due to restrictions in relation to volume of trading/outstanding business or margins stipulated by the Exchange, Clearing Corporation, Clearing House and/or DP TradeKING Private Limited and/or any other extraordinary event warranting such square off, without prior intimation to Client. In the event, when the stock exchange demands for early pay-in of fund and/or securities, DP TradeKING Private Limited may demand the same from client and if client fails to meet early pay-in requirement of funds and/or securities, DP TradeKING Private Limited reserves right to sell clients securities or close client position without notice to client The Client should be aware that it is the first and foremost duty of the client to pay margin and funds or securities obligation to DP TradeKING Private Limited before pay-in date. The client cannot take shelter that DP TradeKING Private Limited will liquidate his/her/its stock in margins if the client fails to pay margin and funds or securities obligation DP TradeKING Private Limited So far as possible, DP TradeKING Private Limited may communicate to client before or after selling of securities or closing the open position, but it is the primary duty of the client to know his fund or margin or security obligation and to pay the same before pay-in date. The client has to know dues payable to DP TradeKING Private Limited from time to time arising out of his/her/its transactions in secondary market. The client understands that he/she/it has to get himself/herself/itself updated about the rules / regulation / bye-laws of the exchange and from various communications made by DP TradeKING Private Limited/Stock Exchanges/SEBI/ other Regulatory Authorities. The loss, if any, on account of liquidation, shall be debited to the account of the Client.

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

The Client hereby agrees that if he/she/it has short delivered any securities against his/her/its pay-in- obligation which resulted into internal shortage, i.e. buy position of another client of DP TradeKING Private Limited, Self Auction of Internal Short Scrip will be carried out by DP TradeKING Private Limited. Internal Shortage in BSE In case of internal shortage of securities in BSE, DP TradeKING Private Limited will request the exchange to conduct the auction on behalf of DP TradeKING Private Limited. The seller client will be debited at auction rate plus penalty charged by the exchange and the securities payout will be passed on to buyer or closeout as per Exchange rules. If the self auction file is rejected or failed on account of technical or any other reason, then close out price will be the Highest Weighted Average Price for any day recorded in the scrip from the trading day on which the transaction took place up to the day of auction or the closing price on the day of auction i.e. T+2 day + 2%(for NIFTY INDEX scrips) and 5% (for other scrips). The profit, arising on account of closeout price lower than the sell rate, the benefit, if any, will be passed on to buyer. The seller will be debited by the same amount plus 0.50% penalty on value. Internal Shortage in NSE Close out price will be the Highest Weighted Average Price for any day recorded in the scrip from the trading day on which the transaction took place up to the day of auction or the closing price on the day of auction i.e. T+2 day + 2%(for NIFTY INDEX scrips) and 5% (for other scrips). The profit, arising on account of closeout price lower than the sell rate, the benefit, if any, will be passed on to buyer. The seller will be debited by the same amount plus 0.50% penalty on value. The above procedure, charges may vary from time to time and such variation will be displayed on Website of DP TradeKING Private Limited Internal Shortage in MCX Stock Exchange.

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

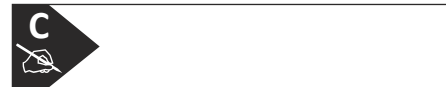


a client DP TradeKING Private Limited may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by DP TradeKING Private Limited/exchange/SEBI and any other reasons which DP TradeKING Private Limited may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

- a. For non-payment or erosion of margins or other amounts, outstanding debts, etc. DP TradeKING Private Limited can adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/ obligations.
- b. Any order which is executed without the required Margin in the Client's account or the broker's exposure is more than 90% and above, no fresh trade will be allowed.
- c. The client hereby authorizes DP TradeKING Private Limited to square off all his/her/its outstanding positions at the discretion of DP TradeKING Private Limited. Further, it would be the duty of the client to monitor his/her/its position with DP TradeKING Private Limited from time to time. In case of any delay or failure by the client in meeting any obligations, margin requirements etc. DP TradeKING Private Limited may at its discretion, close the open position/contract without any further intimation to the client in this regards as per the Risk Management & Surveillance (RMS) policy.
- d. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or even no liquidation may take place 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 has hit circuit filters or for any other reason as prescribed or instructed by SEBI.

- e. DP TradeKING Private Limited is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of DP TradeKING Private Limited, the client has committed a crime, fraud or has acted in contradiction of rights and obligations document including voluntary rights and obligations and documents or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if DP TradeKING Private Limited 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 the account or suspend the trading through client's account for the period as specified in the request in writing and duly signed by him. DP TradeKING Private Limited can withhold the payouts of client and suspend client's trading account due to surveillance action of DP TradeKING Private Limited or judicial or/and regulatory order/action requiring client suspension. DP TradeKING Private Limited shall maintain such suspension/disablement till such time the client makes a specific request and complies with required formalities in that regard.



**DP TradeKING Private Limited**

DP ID : IN 304182

Opp. Panchal Hall, Town Hall Road, Anand 388 001.

T: +91 2692 247502 | Email: demat@dptradeking.com

**DP Copy**

W.E.F.: 01/04/2021

Schedule 'A'

Charges : (For Beneficial Owner)

Charge Type/Code	Indian Resident - (Paper Comm.)	Indian Resident (Digital Comm.)	Non Resident (Digital Comm.)	Corporate (Digital Comm.)
Documentation Charge	NIL		Rs. 500/-	Rs. 500/-
Special Adhesive Charge	As Actual			
KRA/C-KYC Charge	Rs. 50/-			
Lifetime AMC / Annual Maintenance Charge / Monthly Recharge	<input type="checkbox"/> Rs. 40/- Monthly Recharge	<input type="checkbox"/> Rs. 30/- Monthly Recharge	<input type="checkbox"/> Rs. 50/- Monthly Recharge	<input type="checkbox"/> Rs. 75/- Monthly Recharge
	<input type="checkbox"/> Rs. 1,000/- Life Long (With Margin of Rs. 25,000/-)		<input type="checkbox"/> Rs. 2,000/- Life Long (Without Margin)	
	<input type="checkbox"/> Rs. 1,500/- Life Long (Without Margin)			
	<input type="checkbox"/> Introductory Offer of Lifetime ZERO			
DEMAT / MF Conversion Charge	Rs. 10/- Per Certificate (Subject to Minimum of Rs. 75/- Per ISIN) + Rs. 25/- Courier Charge			
REMAT Charge	Rs. 10/- Per Certificate (Subject to Minimum of Rs. 75/- Per ISIN) + Rs. 25/- Courier Charge			
DEMAT Rejection	Rs. 25/- Per Rejection Courier Charge			
Transaction Charge - (within DP TradeKING)				
Buy Market Transfer	NIL			
Sell Market Transfer	Rs. 15/-		Rs. 20/-	
Release of Collateral & Hold Stocks & Direct Pay-In, SLBM, Off-Market	Rs. 15/-		Rs. 15/-	
Transaction Charge - (outside of DP TradeKING)				
Buy (Receive)	NIL			
Sell (Debit) - Other DP	0.03% or Rs. 25/- whichever is higher			
Normal Pledge Creation or Unpledged Request Charge	Rs. 50/- Per Request			Rs. 100/- Per Request
Normal Pledge Closure/Invocation Charges	Rs. 50/- Per Request			Rs. 100/- Per Request
Margin Pledge Req. Charge	Rs. 20/- Per Transaction			
Speed-E Charge	Rs. 750 Per Quarter			
Speed-E A/c Freeze Charge	Rs. 125 Per Freeze Instruction			
Freezing & Defreezing Charge	Rs. 25/- Per ISIN			
Non Periodic Statement (Payable Upfront)	Physical Copy : Rs. 10/- Per Request Digital Copy on Registered Email ID : Free			
Other Charges (Payable Upfront)	Slip Book Issuance	Late Fee	Modification Charge	Loss & Misplace of DIS Book
	Rs. 25/- from Second Issuance	Rs. 25/- Per Instruction	Rs. 20/- Per Request	Rs. 70/-

**Terms & Conditions :**

- The value of shares charges are calculated as per NSDL formula and rates.
- Any service that is not indicated above will be charged separately as per the rates applicable from time to time.
- GST & other Govt. Taxes, levies, etc. applicable as per the prevailing rates will be charges in addition to these charges.
- Interest @ 18% p.a. will be charged on the outstanding bill amount if not paid within the due date.
- Under AMC Charge of Introductory Offer of Lifetime ZERO BO Holder need to carried out minimum 1 DEBIT Transaction from his/her BO Account on every six months. If not done than AMC charges will be applicable for last six months non transactional months as per the monthly recharge scheme (paper and digital).
- All market instructions for transfer must be received latest by 4 p.m. on the previous working day prior to the pay in day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.
- DP TradeKING reserves the rights to revise the tariff structure from time to time and same will be communicated to the Investors with a notice prior to 30 days.

First Holder	Second Holder	Third Holder

**DP TradeKING Private Limited**

NSE TM Code : 90100 | BSE Clearing Code : 6650

Opp. Panchal Hall, Town Hall Road, Anand 388 001.

T: +91 2692 247281/82/83 | Email: broking@dptradeking.com

**Broker's Copy**

W.E.F.: 01/04/2021

Broking Charges

**Brokerage Charges**

Brokerage Code	Yellow	Blue	Silver	Gold	Platinum
Min. Margin Require	Zero to Rs. 25,000/-	Rs. 25,000 to Rs. 2,50,000	Rs. 2,50,000 to Rs. 5,00,000	Rs. 5,00,000 to Rs. 10,00,000	Rs. 10,00,000 & Above
(Tick Whichever is Applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Delivery (Single Side)	Rs. 0.75	Rs. 0.50	Rs. 0.40	Rs. 0.30	Rs. 0.20
Intraday (Single Side)	Rs. 0.075	Rs. 0.050	Rs. 0.040	Rs. 0.030	Rs. 0.020
Futures (Single Side)	Rs. 0.075	Rs. 0.050	Rs. 0.040	Rs. 0.030	Rs. 0.020
Index Options (Per Lot - One Side)	Rs. 75	Rs. 50	Rs. 40	Rs. 30	Rs. 20
Stocks Options (Per Lot - One Side)	Rs. 75	Rs. 50	Rs. 40	Rs. 30	Rs. 20
Currency Derivatives (Per Lot - One Side)	Rs. 100	Rs. 50	Rs. 50	Rs. 50	Rs. 50
Securities Lending & Borrowings	15% of Premium	15% of Premium	15% of Premium	15% of Premium	15% of Premium
Mutual Funds (MFSS)	NIL	NIL	NIL	NIL	NIL
Minimum Contract Charge	Rs. 25	Rs. 25	Rs. 25	Rs. 25	Rs. 25

\* Margin would be calculated as per addition of Stocks in Beneficiary Account + Mini. Ledger Balance Maintained in last quarter + Fixed Deposits.

**Govt. Taxes, SEBI and Exchange Charges**

Security Transaction Tax*	Delivery		Jobbing		Sale of Futures in Securities		Sale of Options in Securities	
	0.1%		0.025%		0.01%		0.05%	
Stamp Duty	Delivery				Jobbing			
	0.010%				0.002%			
Turnover Charge	NSE Cash	BSE Cash	NSE Futures	CDS Futures	NSE Options	CDS Options	SEBI TO. Charge	BSE Clg. Charge
	0.00325%	Rs. 1 Per Trade	0.0019%	0.0011%	0.05%	0.04%	0.00010%	0.001%
GST	CGST 9%			SGST 9%		IGST 18%		
					Statutory Charge (POA)		As Actual	

**Terms & Conditions :**

- In case of Intraday Transaction in equity segment/stock futures/index futures/currency futures Single Side rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second side shall be charged vice versa.
- Brokerage is also charged on expired, exercise and assigned future and option contracts
- Change in Brokerage Slab/Category will be depends upon various factors like, Past Trading/Payment history, Margin Available, Beneficiary Holding and any other factors time to time. DP TradeKING reserves the rights to revise brokerage (Increase or Decrease) slabs/category.
- Base Brokerage Charge for script traded below Rs. 50/- will be at the rate of Rs. 0.05 irrespective of any brokerage slab selected for Intraday Trades.
- Interest @ rate of 18% will be charge on the outstanding bill amount if not paid within the due date.
- In case of Return of Cheque Rs. 500/- will be Debited in Client's Ledger against "Cheque Returned Charges".
- Duplicate Contract Notes : Rs. 10/- Per CN upto 1 Month OR Rs. 25/- Per CN for beyond 1 Month. - Physical or E-Mail.
- Duplicate Sauda Summary Issued : Rs. 50/- for 2 Month Period & Rs. 100/- for beyond 2 months. - Physical or E-Mail.
- DP TradeKING reserves the rights to revise the tariff structure from time to time and same will be communicated to the Investors with a notice of 30 days.

Signature of Applicant

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

## FATCA Annexure for individual Accounts

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

### Details under FATCA and CRS (see instructions)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

Trading Code : \_\_\_\_\_ BO Code : \_\_\_\_\_

Name of the account Holder : \_\_\_\_\_

PAN : \_\_\_\_\_

Occupation Type : ☐ Service ☐ Business ☐ Other-please specify \_\_\_\_\_

Nationality : \_\_\_\_\_

Country of Birth : \_\_\_\_\_ City of Birth : \_\_\_\_\_

Tax residence declaration - tick any one, as applicable to you:

☐ I am a tax resident of India and not resident of any other country

Or

☐ I am a tax resident of the country /ies mentioned in the table below

	Country #	Tax Identification Number *	Identification Type * (TIN or Other*, Please Specify)
1st Holder			
2nd Holder			
3rd Holder			

# To also include USA, where the individual is a citizen/ green card holder of USA

\* In case tax Identification number is not available, kindly provide functional equivalent \$

### Certification

I have understood the information requirements of this form (read along with the FATCA-CRS Instructions) and hereby confirm that the information provided by me on this form is true, correct, and complete. I also confirm that I have read and understood the FATCA-CRS terms and conditions and hereby accept the same.

	Name of Holder	Signature
1st Holder		
2nd Holder		
3rd Holder		

### FATCA Terms and Conditions

**Details under FATCA-CRS /Foreign Tax Laws:** Towards compliance with tax information sharing laws, such as FATCA and CRS, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(S).



## ANNEXURE 1

## INVESTORS' RIGHTS AND OBLIGATIONS

1.1 You should familiarise yourself with the protection accorded to the money or other property you may deposit with you member particularly in the event of a default in the stock market or the broking firms insolvency or bankruptcy.

1.1.1 Please ensure that you have documentary proof of your having made deposit of such money or property with the member, starting towards which account such money or property deposited.

1.1.2 Further, it may be noted that the extent to which you can recover the money or property may be governed by the bye-laws and regulations of NSE/BSE and the scheme of the investor's protection fund in force from time to time.

1.1.3 Any dispute with the member with respect to deposit, margin money etc and producing an appropriate thereof shall be subject to arbitration as per the rules, bye laws/regulations of NSE/BSE or its clearing corporation/clearing house.

1.2 Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commission, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.

1.3 You should exercise due diligence and comply with the following requirements of the NSE/BSE and/or SEBI :

1.3.1 Please deal only with and through SEBI registered members of the stock exchange and are enabled to trade on the exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all member of NSE/BSE and whether they are enable to trade may be verified from NSE/BSE website ([www.nseindia.com/www.bseindia.com](http://www.nseindia.com/www.bseindia.com)).

1.3.2 Demand any such information, details and documents from the member, for the purpose of verification as you may and it necessary to satisfy yourself about his credentials.

1.3.3 Furnish all such details in full as are required by the member as required in "know your client" from which may also include details of PAN or passport or driving license or voter's ID, or ration card, bank account and depository account, or any such details made mandatory by SEBI / NSE at any time as is available with the investor.

1.3.4 Execute a broker-client agreement in the form prescribed by SEBI and/or the relevant authority of NSE or its clearing corporation/clearing house from time to time, because this may be useful as a proof of your dealing arrangements with the member.

1.3.5 Give any order for buy or sell of security in writing or in such a form aor manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent in case of disputes with the member.

1.3.6 Ensure that a contract note is issued to you by the member which contains minute record of every transaction. Verify that the contract note contains details of order no. trade no., time, trade price, trade quantity, name of security, Client Code allotted, to you and showing the brokerage separately. Contract notes are required to be given/ sent by the member of the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hardcopy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the investors' grievances cell of NSE/ BSE, without delaying.

1.3.7 Facility of trade verification is available on NSE/BSE website ([www.nseindia.com/www.bseindia.com](http://www.nseindia.com/www.bseindia.com)), where details of trade as mentioned in the contract note may be verified from the trade date upto 5 trading days. Where trade details on the website, do

not tally with the details mentioned in the contract note, immediately get in touch with the investors' grievance cell of NSE/BSE.

1.3.8 Ensure that payment/ delivery of securities against settlements given to the concerned member within one working day prior to the date of pay/in announce by NSE/BSE or its clearing corporation/clearing house. Payments should be made only by account payee cheque in favor of the firm/company of the trading member and a receipt or acknowledgment towards what such payment is made be obtained from the member. Delivery of securities is made to the pool account of the member rather than the beneficiary account of the member.

1.3.9 In case payout of money and securities is not receive on the next working day after day of payment announced by NSE/BSE or its clearing corporation/clearing house, please followup with the concerned member for its release. In case payout is not released as above from the member within 5 working days, ensure that you lodge a complaint immediately with the investors' grievance cell of NSE/BSE.

1.3.10 Every member is required to sign a complete 'statement of accounts', for both funds and securities settlements to each of its constituents, at such a periodicity as may be prescribed by time to time. You should report error, if any, in the statement immediately, but not later than 30 calendar days of receipt thereof of the member. In case the error is not rectified or there is a dispute ensure that you refer such matter to the investors' grievance cell off NSE/BSE without delaying.

1.3.11 in case of a complaint against a member/registered sub-broker, you should address the complaint to the office as may be specified by NSE/BSE from time to time.

1.4 In case where a member surrenders his membership, NSE/BSE gives a public notice inviting claims, if any, from investors. In case of claim, relating to 'transactions executed on the trading system' of NSE/BSE, ensure that you lodge a claim with NSE/BSE/NSCCL/ clearing house within the stipulated period and with the supporting documents.

1.5 In case where a member is expelled from the trading membership or declared a defaulter, NSE/BSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to 'transactions executed on the trading system' of NSE/BSE, ensure that you lodge a claim with NSE/BSE within the stipulated perios and with the supporting documents.

1.6 Claims against a defaulter/expelled member found to be valid as prescribed in the relevant rules/bye-laws and the scheme under the investors' protection fund (IPF) may be payable rst out of the amount vested in the committee for settlement of the claims against defaulters, on pro-rata basis if the amount is inadequate. The balance amount of claims,if any, to a maximum amount of Rs. 10 lacs per investor claim, per defaulter/expelled member may be payable subject to such a claim being found payable under the scheme of the IPF.

## Notes:

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



## 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 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. IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.



## 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 whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.



## RIGHTS AND OBLIGATIONS OF THE BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT

### General Clause

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

### Beneficial Owner information

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

### Fees/Charges/Tariff

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

### Dematerialization

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

### Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own 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 provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

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

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

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

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

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

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

#### **Authorized representative**

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

#### **Law and Jurisdiction**

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



## COMBINED RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET, FUTURES & OPTIONS AND CURRENCY DERIVATIVES SEGMENTS

This document is issued by the member of the National Stock Exchange of India (NSE) which has been formulated by the Exchange in coordination with the Securities and Exchange Board of India (hereinafter referred to as "SEBI") and contains important information on trading in Equities / F&O / Currency Derivatives Segments of NSE. All prospective constituents should read this document before trading in Equities / F&O / Currency Derivatives Segments of the Exchange.

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

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

You must know and appreciate that trading in Equity shares, F&O contracts, Currency 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 NSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE, 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 member. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a currency derivative contract being traded on NSE.

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

NSE does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any trading member of NSE 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 / F&O contract / currency derivatives contract undergoes when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security / F&O contract / currency derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / F&O contracts / currency derivatives contracts than in active securities / F&O contracts / currency 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 / F&O contracts / currency 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 / F&O contracts / currency 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 / F&O contracts / currency derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / F&O contracts / currency derivatives contracts as compared to active securities / F&O contracts / currency 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 / F&O contracts / currency derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / F&O contracts / currency 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 / F&O contract / currency 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 / F&O contract / currency 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 / F&O contracts / currency 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 / F&O contract / currency 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 / F&O contract / currency derivatives contract, and such order gets activated if and when the security / F&O contract / currency 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 / F&O contract / currency 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 / F&O contract / currency 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 / F&O contract / currency 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 / F&O contract / currency derivatives contract due to any action on account of unusual trading activity or security / F&O contract / currency derivatives contract hitting circuit filters or for any other reason.

#### 1.8 System/Network Congestion:

Trading on NSE is in electronic mode, based on atellite/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 Futures and Options segment and Currency 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 / F&O contract / currency 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 broker/member 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 F&O contracts/ currency 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 Exchange 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 Commission and other charges

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

### 4.2 Deposited cash and property

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

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

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

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



**GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS****BEFORE YOU BEGIN TO TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the stock exchanges,  
For BSE, <http://www.bseindia.com>, and  
For NSE, <http://www.nseindia.com> and  
SEBI website <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, commission, 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 documents executed by you from the stock broker free of charge.
7. In case you wish to execute the power of attorney (POA) in favor of the stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI / exchanges in these regard.
- b) The actual settlement of funds and securities shall be done by the stock broker, atleast 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 account containing an extract from the client's ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
- c) On the date of settlement, the stock broker may retain the requisite securities/ funds towards outstanding. Obligation may also retain the funds expected to be required to meet the derivatives margin obligation 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 of and for next day's business, he may retain funds/securities/margin to the extent of values of transactions executed on the day of such a 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 then stock broker in writing preferably within 7 working days from the date of receipt of 22 funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to Investors Grievance cell of the relevant Stock exchanges without delay

**TRANSACTIONS AND SETTLEMENTS.**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorised by you in writing. You should provide your e-mail 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 to the stock broker.
11. Make the payment by account payee cheque in favor of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/ demat account such as money or securities deposited and from which bank/demat account.
12. Note that facility of trade verification is available on the stock exchange's website, where details of trade as mentioned in the contract note may be verified. Where trade details under website do not tally with the details mentioned in the contract note, immediately get in touch with the investor's grievance cell of relevant stock exchange.
13. In case you have given specific authorization payout of funds or delivery of securities as the case may be, not be made to you within one working day of receipt from the exchange. Thus the stock broker may maintain a running account for the subject to 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.
14. In case you have not opted for maintaining a running account and payout 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' grievances cell of the relevant stock exchange.
15. Please register your mobile no. and e-mail ID with the stock broker to receive trade confirmation alerts, details of the transaction through SMS or e-mail, by the end of the trading day for 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 'transaction executed on the trading system' of stock exchange, from the investors. Ensure that you lodge a claim with relevant stock exchanges within the stipulate 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 default or the stock brokers' insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the bye-laws and the regulations of the relevant stock exchanges where the trade was executed and the scheme of investors' protection fund in force from time to time.



## DISPUTES/COMPLAINTS.

18. Please note that the details of the arbitration processing, penal action against the broker and the investor complaints against the stock broker are displayed on the website of the relevant stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned 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 brokers/Sub-brokers has been mandated by SEBI to designate an e-mail ID of the grievance redressal division/Complaints officer exclusively for the purpose of registering complaints.



## ACKNOWLEDGEMENT

I/We hereby confirm and acknowledge the receipt of the following documents:

### 1. Rights and obligations

Documents stating the rights and the obligations of stock broker/ trading member, Sub-broker/Authorised person and client for trading on exchange (including additional right and obligations in case of any internet/wireless technology based trading)

### 2. Risk disclosure document (RDD)

Document detailing risk associated with dealing in the security market.

### 3. Guidance note

Document detailing do's and don't's for trading on exchange, for the education of the investors.

### 4. Rights and Obligations of Beneficial Owners and Depository Participant:

Document stating the rights and the obligation of beneficial owners and depository participant.



## ENABLING INTERNET & WIRELESS TECHNOLOGY BASED TRADING NSE & BSE

From,


Date : 

D	D	M	M	Y	Y	Y	Y
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To,

**DP TradeKING Private Limited**

3<sup>rd</sup> Floor, Silver Oak,

Opp. Panchal Hall, Town Hall Road,

Anand - 388 001. Gujarat.

**Subject : Request for enabling Internet & wireless technology based trading facility provided by stock brokers to client..**

Respected Sir/Ma'am,

This is to inform you that I am having a Trading Account with you for the purpose of Trading in Cash Segment / Future & Option Segment / Currency Derivatives Segment (Strike out whichever is not applicable). I would like to avail the Internet & wireless technology based trading facility provided by stock brokers to client to trade, so please kindly enable the said facility provided for the trading. The details of the same are as below. I declare and agree to all the terms and conditions, clauses mentioned in the "Right and Obligations" of trading A/c opening form. Additionally the clauses mentioned herein shall be applicable as attached

Trading Account Number	
Name of the Client	

Thanking You,

\_\_\_\_\_  
(Name of the Client)



## VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities trading account with **DP TradeKING Private Limited** (hereinafter referred as DPTKPL) for the purpose of trading in capital market segment, future and option and currency derivative segments of the National Stock Exchange of India Ltd, the Bombay Stock Exchange Ltd, and Mutual Funds Transactions facilities offered by SEBI recognized Stock exchange and whereas for the purpose of more fully and conveniently availing of the service agreed to be provide by DPTKPL and also the additional services that may be made available by DPTKPL from time to time, the client on its own free will and volition, agrees to accept and bound by the following terms and conditions. The client understands that this terms and conditions are voluntary i.e non-mandatory in nature but on their acceptance, they shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. Authorisation to debit additional charges with regard to trading and Demat account: without prejudice to the other rights and obligations of the parties, client understands and agrees that DPTKPL will levy additional charges including annual maintenance charges and all transaction charges with respect to client's Demat account for any service rendered by DPTKPL and as may be required by the client, and recovered from the client or reasonable cost as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with DPTKPL.
2. Payment by cheque: Where payment by the client toward margin money is made through cheque/pay order demand draft issued in favor of trades may be executed at the discretion of DPTKPL only upon realization of the fund of the said cheque/pay-order/demand draft.
3. Lien: All securities, funds and/or properties of the client as may be permitted by the exchange from time to time to be placed with DPTKPL shall be subject to a lien for the payments or fulfillment of all un discharged liabilities and obligations of the client in relation to its transactions or owing to any of the group of companies of DPTKPL. DPTKPL shall be entitled to withhold such securities, funds and/or property of client as security towards any such un-discharged liabilities to itself all such securities, funds or properties at its sole discretion and at any point of time.
4. Authorisation for entered segment fund balance transfer and stock transfers: The client hereby authorises DPTKPL to transfer his debit/credit balances in the ledger account arising during the course of trade in any segment to its ledger Account in any other segment or to transfer a ny stock purchase/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of DPTKPL.
5. Disclaimer: The client understands and agrees that neither DPTKPL nor any other party dis-maintaining any market data, message or information through the website of DPTKPL or in any other media shall be liable for:
  - (a) Any inaccuracy, error, omission, or delay in the transmission delivery of any such data, information or message, or
  - (b) Any loss or damage arising from or occasioned by
    - (i) any such inaccuracy, error, delay or omission
    - (ii) Nonperformance
- (iii) Interruption in making available any such data, information or message due to either any act or omission by DPTKPL or any dis-maintaining party or to any "force majeure" (e.g. Flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riots, labour dispute/unrest, accident, action of government, communication or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of DPTKPL any disseminating party.
6. Manner and mode of placing orders/ instructions: the client may communicate orders other instructions to DPTKPL or the sub-broker/ authorised person as the case may be over phone at the designated contact telephone number or in writing, or through designated e-mail, or by personally visiting the designated office. Client may use any one or more of these means as may be permitted by the SEBI/Exchanges from time to time placing orders.
7. Non-execution/delays cancellation of orders: The client hereby agrees that DPTKPL or the exchanges shall not be liable for non-execution or partial execution of any orders caused due to suspension, interruption, or malfunction of the online as well as offline trading service, disruption or congestion of communication networks, hardware or software problem, or failure of the electronic trading system Generally in any manner due to one or the other reasons beyond the control of DPTKPL the exchange
8. Client not to act on representations of agents, employees: Client is aware that DPTKPL has not authorized any agents, representatives, employees or other person to make any representation, or to give any promise, assurance, warranty, undertaking or commitment to as to return on investment of the client whether in writing or otherwise on behalf of DPTKPL.
9. Recording of Conversation: Client is aware and agrees that DPTKPL may tape record the conversation between the client/clients or in person. DPTKPL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversations or transcript thereof or both as valid evidence of the content of the conversation so recorded.
10. Confidential of client's details: DPTKPL may disclose the client's information to any person/entity as required under the law or to any brokers association or organisation in case of disputes in order to take informed decision. The client hereby agrees and gives his consent for the disclosure by DPTKPL to any person or entity including but not limited to any independent third parties or any entities of DPTKPL group, whether within or outside India, of any information and data relating to client or relating to client's trading account with DPTKPL for the purpose of or in connection with, any present, or proposed initiatives including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services a valid or to be availed by the client in future.



11. Disclosure as to property trades by DPTKPL: DPTKPL may carry out property trade in addition to trades on behalf of its clients.
12. Severance: In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legally and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
13. No waiver: No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such a party to require of the other party at any time such a performance or discharge of performance or discharge of any other obligation under this document or be consider to be a waiver of any rights, unless the waiver is specifically agreed in writing.
14. Notice: All notice or communication issued by DPTKPL shall be served on the client in any one or more or all of the following ways at the ordinary business address and/or ordinary place or residence and/or last known address of the client.
  - 14.1 (a) By ordinary post or (b) by registered post (c) under certificate of posting or (D) by express delivery post or (e) by SMS on registered mobile or by telephonic call or (f) by affixing it on the door at the last known business or residential address or (g) by oral communication to the party or on the last known telephonic number or the recording machine of such number or (h) by advertising it in atleast one prominent daily newspaper having circulation in the area where the known business or residential address of the client is situated or (i)By publishing in the website of DPTKPL wherein secure log ID and password to client is provided or (j) by a notice posted on the notice board of the exchange if no address be known or (k) by electronic mail or fax or (l) by hand delivery or by courier or any other mode as may be allowed for communication.
  - 14.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance call and other similar matter in the ordinary courses of dealing between DPTKPL and the client may be made orally.
15. Electronic Contract Note (ECN):
  - 15.1 Client agree to receive contract note in electronic/digital from (ECN) authenticated by means of a digital signature in lieu of physical contract notes through e-mail by authorizing DPTKPL in this connection and providing the e-mail address at which the client wishes the ECN to be sent.
  - 15.2 The client shall access and verify the ECN and all information contained therein, in case of discrepancy the client shall inform DPTKPL either in writing or via email within 7 working days of the receipt of the same. DPTKPL shall also publish the contract note on the website [www.dptradeking.com](http://www.dptradeking.com) or on any other designated location specified by the DPTKPL from time to time. The client will be issued a login and password by which the client can login into his account and view/save/print the ECN. Should the client experience any difficulty in opening the ECN, DPTKPL may, on advice by the client, make the contract note available by any other means (email, Electronic mail attachment or in the form of an available download from the backoffice website or by delivery of the hard copy). Client's failure to advise DPTKPL of such a difficulty shall amount to valid delivery and viewing of the document by the client.
16. Electronic transmission of other document: The client who have opted for ECN agree that DPTKPL may transmit to the client any statement, document, or intimation including, but not limited to , margin statement, statement of funds and securities, margin and maintenance calls & other notice/ communications in electronic mode either at the email id designated for delivery of ECN or to the mobile number of the client or both and, in case of non-receipt of bounced mail/non-delivery SMS notification, DPTKPL shall be deemed to have fulfilled his obligation to deliver to the client such documents. Discrepancies if any in documents, should be brought to the notice of DPTKPL within 7 working days from issuance failing which the documents shall be deemed to be true a nd correct record of transaction stated therein an shall be binding on the client.
17. Electronic payment gateway for net banking services: DPTKPL may provide on its interest trading website, without additional cost to the client, access to the electronic payment gateways provided by various banks for facilitating transfer of funds from clients bank account to the account of client wit DPTKPL. client understand that DPTKPL is only providing access to the electronic fund transfer facility provided by the banker of the client through DPTKPL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous element, fraud, and /or any incidental or consequential claims arising there out. Client undertakes not to make DPTKPL a party to any litigation, claim, disputes, difference or complaint that the client may initiate in respect of, arising out of or in connection with any transaction on the gateway and agrees that DPTKPL's liability shall at all-time be limited to the amount actually received in its account by electronic transfer from client's account with the bank.
18. Internet/wireless technology based trading facility:
  - 18.1 DPTKPL offers internet and mobile trading facility for transaction in securities on the concerned exchanges including online application of IPO/FPO/NFO/Bond issue or any other issues of securities or services to apply/ purchase/redeem/buyback or otherwise deal in the unit of Mutual funds (hereinafter referred to as “ the internet/ wireless trading system”) through exchange approved software. The client can route its orders to DPTKPL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing selling and dealing in securities. The client may avail of such trading facility provided by DPTKPL by complying with the formalities prescribed therefor.
  - 18.2 No usage of internet/ wireless trading facility: If the client does not use the internet/wireless trading facility for a continuous period of 3 months or such other period as DPTKPL may notify, the facility may be deactivated without notice and the client shall comply with the prescribed formalities for reactivating the facility. Trades can however be executed at all time by placing orders off-line with the concerned branch of DPTKPL.
  - 18.3 The client understand and agrees that DPTKPL has different product of the internet trading/ wireless trading software's which have been approved by the exchanges and the client



shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, DPTKPL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the internet/wireless trading facilities.

- 18.4 Orders of client subject to review by DPTKPL: The client agrees that DPTKPL, may on being suspicious on any of the transactions, review any order placed by the client, which may cause delay in the processing of the client's order or may result in rejection of such order.
19. Extra ordinary events and termination/suspension of trading facility: DPTKPL will not be liable for any losses caused directly or indirectly by the government restrictions, exchange rulings, suspension of trading, computer, communication telephone or system failure, war, earthquake, flood accident power failure, equipment or software malfunction, lack of connectivity,

congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or and other conditions beyond DPTKPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any, DPTKPL may at any time terminate, discontinue or temporary suspend trading facility provided to the client in the event of any such extraordinary event occurring without giving prior notice to the client.

20. Amendments to the terms and conditions: DPTKPL reserves the right to amend terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days' notice to the client. In the event where the client has not objected to revise the terms and conditions within 15 days of receiving notification, the same shall be binding on the client.

I/We hereby confirm to have read and understood the terms and conditions as mentioned above and agree to abide by the same.

For, **DP TradeKING Private Limited**

**Authorised Signatory**



## AUTHORITY TO RETAIN FUND AS RUNNING ACCOUNT

To,

DP TradeKING Private Limited

3<sup>rd</sup> Floor, Silver Oak,

Opp. Panchal Hall, Town Hall Road,

Anand - 388 001. Gujarat.

Date : 

D	D	M	M	Y	Y	Y	Y
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Client Code : \_\_\_\_\_

Ref : Authority to retain fund towards Margin in Cash Segment, F&amp;O Segment, Currency Derivatives, Mutual Fund &amp; any other segment.

I/we have made application with requisite documents to you to open trading account for execution of trades on my/ our behalf as per instruction given by me/us time to time in various segments like cash and/or F&O and/or Currency derivatives and/or NSE-MFSS of various stock exchanges like National Stock exchange of India Ltd (NSE) and/or Bombay stock exchange Ltd. (BSE) etc. (hereinafter called as 'exchange(s)') as my/our broker. Notwithstanding anything contrary, I hereby request you to maintain my accounts you on a running basis. I may not be in a position to settle my trades within the exchange specified settlement schedule. Hence I request you to open running account with you. In this connection I understand and agree to the following:

1. You can retain the funds with you, received as payout from the exchanges on my behalf. The same can be used towards margin for my future transactions or outstanding positions, if any.
2. You can retain the securities with you, received as payout from the exchanges on my behalf. The same can be used towards margin/collaterals for my future transaction or against outstanding positions, if any.
3. In case of any sale transaction done by me, you can automatically, deliver the shares to the exchanges towards payin, out of my shares if any lying with you, on my behalf.
4. In case of any purchase transaction done by me/us, you can automatically, make the funds payin to the exchange, out of the credits lying in my account, on my behalf.
5. To retain the securities received by DPTKPL from me on my behalf from the exchanges on payout or otherwise for my debit balance/dues/exposure/trading limits/open interest/ various margin or for any other purpose as and when required by DPTKPL or a per any regulations of the exchange. Such retaining/ holding of securities shall be construed as due compliance of the requirement of the exchange and SEBI. Further, DPTKPL has the sole discretion and authority
  - (i) To use / transfer the above security to the clearing corporation / clearing member / professional clearing member / exchanges / banks or other entities for the purpose of early payin/ margin/additional base capital / raising of finance against these securities or otherwise
  - (ii) to dispose / sell the above securities to meet any monetary/ other dues/ obligations not fulfilled by me/us towards DPTKPL / the exchanges.
6. In case of any debit balance in my account, you can square off my securities, held with you by me, to the extent of my debit balance, without any notice to me/us.
7. In case I require funds of securities, I will inform you of the same in writing, after which you can make the payments/ transfer the securities to me.
8. I will not hold DPTKPL responsible for any losses/damages arising out of such transfers and or sale done by DPTKPL, on my behalf, pursuant to these instructions.
9. No interest will be paid to me for maintaining running account with DPTKPL, on the credit balance available in my account.
10. This running account authorisation shall continue to be in force until it is revoked by me/us by giving notice in writing to DPTKPL at its registered head office. I/we may revoke this authorization at any time. However any such revocation shall come into effect only after such revocation in writing is received by DPTKPL at its registered head office in Anand under proper acknowledgment, to process the revocation and make necessary changes in its record/system cancelling the authorisation. Notwithstanding any such revocation, all action taken by DPTKPL pursuant to this authorisation prior to its cancellation as aforesaid shall be fully valid and effective and shall be binding on me/us. Settlement of funds and securities on (Tick any one from below option(S))
 

☐ Quarterly Basis  
☐ Monthly Basis
11. Notwithstanding the monthly/quarterly settlement chosen above, to avoid administrative/operational difficulties authorise DPTKPL to retain an amount upto Rs.10000.
12. I/we further authorize you to inter transfer, adjust balance, pass journal voucher for my/our cash margin, payout of funds my/our running ledger balance between various segment of various exchanges in my/our various account held with you and vice versa. I/we hereby willfully issue standing instructions for transfer of credit/debit balance from market to market/ premium account to margin account vice versa. I/we hereby authorise you to withhold my/our fund payout (if any) towards margin and open interest, as and when warranted and similarly debit my/our account with you for fresh mark to market differences, margin etc on a daily basis, if required.
13. I/we authorise you to debit my/our account for all necessary charges in respect of transfer of funds and securities from your account to meet my/our pay in obligations or for transferring such fund and securities into my/our bank account/ demat account respectively as per my/our specific instruction.
14. I/we further authorise you to pledge the securities in favor of clearing corporation, stock exchanges etc. for margin and/ or pay in purpose if so required.

I/we Understand agree to the above.



## WRITE UP ON AML MEASURES

## Why to Monitor Money Laundering

1. Huge amount of funds are generated from illegal activities. These funds are mostly in the form of cash. Money laundering is the processing of these criminal proceeds to disguise their illegal origin.
2. The groups or individuals (criminals) who generate these cash funds need to be brought into the legitimate financial system.
3. All intermediaries in the financial market are therefore required to monitor the money laundering activities to identify entry of these illegal funds into the legitimate financial system.

## Consequences of Money Laundering

4. Finances Terrorism: Money laundering provides terrorists with funds for financing their activities.
5. Undermines rules of law and governance: The use of illegal money increases anti-social activities and leads to undermining of rules of law and governance.
6. Affects macro economy: Money laundering if not checked would lead to unusual changes in money demand, risk to bank soundness, corruption, crime, undermining of democracy and rule of the law.
7. Hinders integrity of banking and financial system: The processing of illegal funds through an institution would result in the institution becoming a part of the criminal network which would have damaging effect on the integrity of the system as a whole.
8. Reduces Revenue and Control: Money laundering reduces government tax revenue and weakens government control over the economy.

## Steps in which money is laundered

Money laundering basically involves three independent steps.

9. **Placement:** This refers to movement of cash from its source. This is done by placing funds into circulation through financial institutions, businesses, etc.
10. **Layering:** This stage aims at creating complex layers of financial transactions thereby making it more difficult to trace the source of these illegal funds.
11. **Integration:** This is the movement of previously laundered money into the economy mainly through the banking system and thus such monies appear to be normal business earnings. This is dissimilar to layering, for in the integration process detection and identification of laundered funds is provided through informants.

## Global Framework - Financial Action Task Force

12. Financial Action Task Force was established by the G-7 summit in Paris in 1989 in response to mounting concern over money laundering.
13. The Task Force was given the responsibility of examining money laundering techniques and trends, reviewing the action which had already been taken at a national or international level, and setting out the measures that still needed to be taken to combat money laundering.  
Works to generate the necessary political will to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing.
14. FATF comprises of 34 member jurisdictions including India and 2 regional organizations. Indian Scenario
15. The Prevention of Money Laundering Act, 2002 (PMLA) forms the core of the legal framework put in place by India to combat money laundering. PMLA and the Rules notified there under came into force with effect from July 1, 2005.
16. Financial Intelligence Unit - India (FIU-IND) was set by the Government of India vide O.M. dated 18th November, 2004 as the central national agency responsible for receiving, processing, analyzing and disseminating information relating to suspect financial transactions.
17. The PMLA and rules notified there under impose obligation on banking companies, financial institutions and intermediaries to verify identity of clients, maintain records and furnish information to FIU-IND. PMLA defines money laundering offence and provides for the freezing, seizure and confiscation of the proceeds of crime. Obligation of the clients
18. The clients need to provide complete details like Address Proof, PAN, Income details etc. in order to help establish the identity and thereby help in tracing source of funds.
19. Periodically update the financial details.
20. The transaction executed need to commensurate with the disclosed income details.

For any queries, please contact at  
compliance@dptradeking.com  
Reference for websites.

1. <http://fiuindia.gov.in>
2. [www.sebi.gov.in](http://www.sebi.gov.in)
3. [www.nseindia.com](http://www.nseindia.com)
4. [www.bseindia.com](http://www.bseindia.com)

I/We have read and understood the aforesaid Anti Money Laundering write up.



## CLIENT DEFAULTER DECLARATION

To,  
**DP TradeKING Private Limited**  
 Anand - 388 001.  
 Sub: Defaulter Declaration.

1. I/We have made application with requisite documents to you to open trading account for execution of trades on my/our behalf as per instruction given by me/us from time to time in various segment like Cash and/or F&O and/or Currency Derivatives and/or Mutual Fund segment of various stock exchanges like National Stock Exchange of India Ltd. (NSE) and /or Bombay Stock Exchange Ltd. (BSE) and etc. (hereinafter called as "the Stock Exchange(s)") as my/our broker.
2. I/We do hereby declare that I/we have not been involved in any terrorist activity and I/we have not been declared as defaulter or my/our name is/are not appearing in defaulter database as per SEBI/Various Exchanges/Regulatory Bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.

Thanking You,



\*Strike off whichever is not applicable/acceptable to you.

Note: The above declaration is to be given by the client, if the client has not been declared as defaulter.

## DECLARATION FOR OPTING E-COMMUNICATION SERVICE

To,  
**DP TradeKING Private Limited**  
 3<sup>rd</sup> Floor, Silver Oak,  
 Opp. Panchal Hall, Town Hall Road,  
 Anand - 388 001.

Date : 

D	D	M	M	Y	Y	Y	Y
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UCL No : \_\_\_\_\_

Demat Account No: \_\_\_\_\_

Dear Sir,

**Sub.: Requesting for bill/contract/transaction/holding statement through e-mail.**

I/We request you to send me/us bill, contract, transaction and holding statement of my/ our Trading Account as well as Depository account mentioned above at following email address: \_\_\_\_\_

I/We fully agree and are aware of following Terms and Conditions mentioned below

- a) that I/We will not receive the bill, contract, transaction and holding statement in paper form.
- b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login and password of the internet/email account.
- c) that I/We am/are aware that the bill, contract, truncation and holding statement may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromises.
- d) that I/We in any case bill/contract/transaction/holding statement are sent by email, I/We will immediately inform the DP TradeKING Private Limited about change in email address, if any.

In case, the DP TradeKING Private Limited is not able to provide /contract/transaction/holding statement to its clients by email or on website due to any reason (including bounced emails), DP TradeKING Private Limited will ensure that the statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of NSE, BSE and NSDL.



## ACTIVATION OF MUTUAL FUNDS TRADING FACILITIES ON NSE (MFSS PLATFORM) EXCHANGE

Date : 

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

To,  
**DP TradeKING Private Limited**  
 3<sup>rd</sup> Floor, Silver Oak,  
 Opp. Panchal Hall, Town Hall Road,  
 Anand - 388 001. Gujarat.

**Sub : Mutual fund trading facility on NSE exchange.**

I/We am/are registered as your client with above mentioned trading code and have executed KYC and rights and obligation and other voluntary document, if any, for the purpose of trading in the capital market segment of the exchange. I/We am/are interested in availing the trading facility of the exchange for the purpose dealing in the Units of mutual funds schemes permitted to be dealt with on the exchange.

For the purpose of availing this facility I/We take that know your client details as submitted by me/us for the stock broking to be considered for the purpose of the mutual fund segment of the exchange and I/We further confirm that details contained in same remain unchanged as on date

I/We am/are willing to abide by the operating guideline and terms and conditions as may be specified by the exchange from time to time in this regard including the terms and conditions specified by the exchange with respect to mutual fund facility since 2009. I/We shall also comply with all the Know your Client (KYC) and anti-money laundering (AML) requirements as may be specified by the exchange.

I/We shall also ensure compliance with the requirements as may be specified from time to time by securities and exchange board of India and association of mutual fund of India (AMFI) I/We shall read and understand the contents of the scheme information document and key information memorandum, addenda issued regarding each mutual fund schemes with respect to which I/We choose to subscribe/redeem.

I/We further agree to abide by the terms and conditions, rule and regulations of the mutual funds scheme.

I/We therefore request you to register me/us as a client for participating in mutual fund facility of the NSE MFSS platform. I/We have read and understood below given prerequisites and terms and conditions and agree with the same prerequisites for becoming investor/client for the mutual fund services

1. Client is desirous of investing in units of mutual fund scheme through the exchange.
2. The client intends to execute his instruction for the subscription, Redemption of units of mutual funds schemes through the exchange.
3. The client has satisfied himself/herself of the capacity of the participant to deal in mutual fund units and wishes to execute its instructions through the participant and the client shall from time to time continue to satisfy itself of such capability of the participant before executing transaction through the participant.
4. The client has approached to the participant with the application for availing the mutual fund facility from the exchange.
5. The client has submitted relevant KYC details to the participant Terms and conditions
6. The client shall be bound by circulars issued by exchanges, rules, regulations and circulars issued thereunder by SEBI,

AMFI and relevant notifications of government authorities as may be in force from time to time.

7. The client shall immediately notify the participant in writing if there is any change in the information in the "client registration form" provided by the client to the participant at the time of registering as a client for participating in the mutual fund segment of exchange or at any time thereafter.
8. The client shall submit to the participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the participant.
9. The client has read and understood the risks involved in investing in mutual funds scheme.
10. The client shall be wholly responsible for all his investment decision and instructions.
11. The client shall ensure continuous compliance with the requirements of the exchange, SEBI and AMFI.
12. The client shall pay to the participant fee and statutory levies as are prevailing from time to time and as they apply to the client's account, transactions and to the services that participant renders to the client.
13. The client will furnish information to the participant in writing if any winding up petition or insolvency petition has been filled or any winding up or insolvency order to decree or award is passed against him/her or if any litigation which may have material bearing on his capacity has been filed against him/her.
14. In the event of nonperformance of the obligation by the participant, the client is not entitled to claim any compensation either from the investor protection fund or from any fund of exchange or clearing corporation of exchange.
15. In case of any dispute between the participant and investor arising out of the mutual fund facility of the exchange, each of the exchange agrees to extend the necessary support for the speedy redressal of the disputes.

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief.



## DECLARATION BY NRI CLIENTS

To,

Date : 

D	D	M	M	Y	Y	Y	Y
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**DP TradeKING Private Limited**3<sup>rd</sup> Floor, Silver Oak,

Opp. Panchal Hall, Town Hall Road,

Anand - 388 001. Gujarat.

With reference to the opening of trading Account with you for availing facility for trading in Securities on the stock exchanges pursuant to the KYC, Rights and Obligations Documents and other voluntary documents executed by me with you, I, hereby unconditionally and unequivocally, state, declare, undertake, confirm DP TradeKING Private Limited (hereinafter referred to as "DPTKPL") as under:

1. I am non-resident Indian as defined under Foreign Exchange Management Act (FEMA).
2. I understand that the trading account is opened on the basis of statement / declarations made by me, and that if any of the statement / declarations made herein is found to be incorrect in material particulars, DPTKPL may discontinue my trading account.
3. I confirm and agree that the trading account will be used for bonafide transactions not involving any violation of the provisions of any applicable Regulations.
4. I undertake to intimate to DPTKPL about my return to India for permanent residency immediately on arrival.
5. I confirm that all Investments and disinvestment in India are covered either by general or special permission of Reserve Bank of India.
6. I agree and confirm that I shall abide by all the rules and regulations of the FEMA / Reserve Bank of India governing the trading in Indian secondary securities market.
7. Any notice / correspondence/ contract notes/ statement of accounts / statement of securities sent to me at any of the address given in the Know Your Client (KYC) form in the ordinary course of post/courier/fax or on the email ID mentioned in the said KYC form or intimated separately, as the case may be, for the purpose of receiving electronic contract notes shall be deemed to have been received by me.
8. I hereby confirm having understood that DPTKPL may decline to comply with any instructions authorized by me if in the DPTKPL's opinion; compliance therewith would be illegal or result in a breach of any applicable laws or regulation.
9. I confirm that the bank having my PIS account is given standing instruction to honor all the contract notes relating to purchase trades executed by me through DPTKPL. Copy of the instruction so given to the bank shall be provided to DPTKPL for their record. I confirm that contract note will be provided by me to the bank.
10. I agree and confirm that in the event I desire to withdraw the standing instruction given as aforesaid, I shall serve at least 15 (Fifteen) working days advance written notice on DPTKPL. Such revocation shall be effective only on and from the date of expiry of 15 (Fifteen) working days from the date of service of such notice on DPTKPL provided that such revocation shall not have any effect on the transactions in securities executed by me before the effective date of such notice of revocation and I agree and undertake that I shall continue to be liable and bound by the transactions and obligations undertaken by me with DPTKPL prior to effective date of such revocation and ensure that bank honor all such instructions on or before the effective date of revocation.
11. I hereby agree and confirm to indemnify and save, defend and keep DPTKPL harmless and indemnified, at all times from and against all actions, causes, suits, proceedings, claims and demands whatsoever made on the DPTKPL by any person and against all costs charges, expenses, damages and sums of money (including legal expenses) incurred, suffered or sustained by DPTKPL for any non-compliance of applicable act, rules or regulations by me or due to breach of the terms and conditions of my obligations under Rights and Obligation Document or any other voluntary document executed by me for availing such services from DPTKPL.
12. I confirm that the information set out hereinabove is true, complete and accurate and that DPTKPL shall be informed from time to time of any changes.

<b>FH</b> 	
<b>SH</b> 	
<b>TH</b> 	

\*Strike off whichever is not applicable/acceptable to you.



## FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS

Note – The information in this section is being collected because of enhancements to DP Trade KING Private Limited new account on-boarding procedures in order to fully comply with Foreign Account Tax Compliance Act (FATCA) requirements and the Common Reporting Standards (CRS) requirements pursuant to amendments made to Income-tax Act, 1961 read with Income-tax Rules, 1962.

**For more information refer:**

[http://www.incometaxindia.gov.in/dtaa/other%20agreements/india\\_iga\\_final-\\_india\\_english.pdf](http://www.incometaxindia.gov.in/dtaa/other%20agreements/india_iga_final-_india_english.pdf)

<http://www.oecd.org/ctp/exchange-of-tax-information/automatic-exchange-financial-account-information-common-reporting-standard.pdf>

(We are unable to provide advice about your tax residency. If you have any questions about your tax residency, please contact your tax advisor)

### Part A (All fields are mandatory)

Section I		Details of Account Holder	
1	<b>Trading code: Client ID (To be provided only if Demat account is with DP Trade KING):</b>		
2	<b>Name of Account Holder</b>		
3	<b>Address for Tax Residence(include City, State, Country and Pin code)</b>		
4	<b>Address Type(Tick whichever applicable)</b>	(a) Residential (b) Business (c) Registered Office	
5	<b>Do you satisfy any of the criteria mentioned below?</b>	Yes	No
	a. Citizen of any country other than India (dual / multiple) <i>[including Green card]</i>		
	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		
<i>If your answer to any of the above questions is a 'YES', please fill Section II of the form, else go to declaration &amp; acknowledgment</i>			

**Section II - Other information (Please fill in BLOCK LETTERS)**

Father's name \_\_\_\_\_ (If PAN not available, then mandatory)

Country of Birth' \_\_\_\_\_ Place within the country of birth \_\_\_\_\_

'(If USA, however nationality and/or country of tax residency is not USA, please provide documentary evidence as mentioned in Instruction 1)

Source of Wealth \_\_\_\_\_ Nationality \_\_\_\_\_

Please list below the details, confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers

Country of Tax residency	Tax identification no <sup>s</sup>	Tax identification document (TIN or functional equivalent)



<sup>§</sup>It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN /functional equivalent is yet available or has not yet been issued, please provide an explanation below.

	<b>Declaration &amp; Acknowledgement</b>	<p>I _____ being the beneficial owner of the account opened / to be opened with DP Trade KING Private Limited and the income credited therein, declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed. I acknowledge that towards compliance with tax information sharing laws, such as FATCA / CRS, the DP Trade KING may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if the DP Trade KING does not receive a valid self-certification from me) the DP Trade KING may be obliged to share information on my account with relevant tax authorities. Should there be any <b>change in any information provided by me I ensure that I will advise DP Trade KING promptly, i.e., within 30 days.</b> Towards compliance with such laws, the DP Trade KING may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, the DP Trade KING may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s). I also understand that the account will be reported if any one of the aforesaid FATCA / CRS criteria for any of the account holders i.e. primary or joint (in case of Demat account) are met.</p>
	<b>Customer Signature</b>	
	<b>Date</b>	

#### Office Use Section:

Name of the Employee	
Employee Code	
Designation of the employee	
Date	
Place of Verification	



## Instructions to the Form

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

S. No.	FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
1	U.S. place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document <b>evidencing nationality or citizenship</b> (refer list below); <b>AND</b> 3. <b>Any one</b> of the following documents: - Certified Copy of "Certificate of Loss of Nationality or - Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; <b>or</b> - Reason the customer did not obtain U.S. citizenship at birth
2	Residence/ mailing address in a country other than India  <div style="text-align: center;">or</div> Telephone number in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)
3	Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> Documentary evidence (refer list below)
4	POA granted to a person with an address in a country outside India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b> 2. Documentary evidence (refer list below)

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

**\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**





**DECLARATION OF FEMA REGULATION COMPLIANCE (FOR NRI - ACCOUNT)**

From, \_\_\_\_\_

\_\_\_\_\_

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

To,

**DP TradeKING PRIVATE LIMITED**

3<sup>rd</sup> Floor Silver Oak, Opp. Panchal Hall,  
Town Hall Road, Anand – 388001

**Subject : Declaration of FEMA Regulation (compliance).**

Respected Sir/Ma'am,

I/We are having an NRI Depository Account No. \_\_\_\_\_ with you in the name  
of \_\_\_\_\_ (First holder's Name). I/We declare that,

**I/We have complied and will continue to comply with FEMA regulations.**

Thanking You,

Name of 1<sup>st</sup> Holder : \_\_\_\_\_ Signature : \_\_\_\_\_

Name of 2<sup>nd</sup> Holder : \_\_\_\_\_ Signature : \_\_\_\_\_

Name of 3<sup>rd</sup> Holder : \_\_\_\_\_ Signature : \_\_\_\_\_

**ACKNOWLEDGEMENT**

Received an application from Mr./Ms. \_\_\_\_\_  
for **FEMA declaration**.

DP ID :

Client ID :

Date :

**Participant's Stamp**  
(with Signature & Date)

## Registered Office

3rd Floor, Silver Oak, Opp. Panchal Hall, Town Hall Road,

**Anand** - 388 001. **Phone** : (0) +91 2692 246500

**Mobile** : +91 99099 42726, +91 99241 32726 | **Email** : info@dptradeking.com

## Branch Offices

**ANAND** | **NADIAD** | **UMRETH** | **V.V.NAGAR** | **BORSAD** | **PETLAD**  
**VADODARA** | **ANAND (SARDAR GUNJ)** | **MUMBAI**

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