



DP TradeKING[®]
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



Depository Participant
DP ID : IN304182



Member
ARN : 109938 | EUIN : E176309



Registered Agent
Life, Health & General Insurance

Customer Folder

Copy of Important/Mandatory Documents Prescribed by SEBI and Exchange(s) Executed at the time of Account Opening.

Folder Contains

1. Rights and Obligations of Stock Broker, Authorised Person and Client.

Document Stating the rights and obligation 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. Rights and Obligations of Beneficial Owners and Depository Participant

Document stating the rights and obligation of beneficiary owner and depository participant.

3. Risk Disclosure Document (RDD)

Document detailing risk associated with dealing in the securities market.

4. Guidance Note

Document detailing do's and don'ts for trading on exchange, for the education of the investors.

5. DP Charge Sheet - Depository Participant

Document stating various charges to be collected by depository participant from client.

6. Brokerage Charge Sheet - Trading Member

Document stating brokerage charge to be collected from Stock Broker from client.

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).

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

2. As far as 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.

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.

- 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

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.



DP TradeKING Private Limited

DP ID : IN 304182

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

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

DP Copy

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

Schedule 'A'

Charges : **For Non-BSDA 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. 15/-	
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			
CAS Dispatch Charges	As per actual charge by Depository			
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 : ____ / ____ / ____

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**

Digitally available across globe...

www.dptradeking.com