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Ver. 2025/01



## Client Copy Part B

Copy of Important/Mandatory Documents prescribed by Regulatory

### ACKNOWLEDGEMENT TO CLIENT



**DP TradeKING Private Limited**

Date :

We hereby acknowledge the receipt of the Account Opening Form (KYC) with thanks from

Client Name			
PAN			
RM Name	Emp. Code	Branch Code	
RM Mobile	E-mail		
Customer Care No.	+91 91046 19000	E-mail	care@dptradeking.com
Head Office	3rd Floor, Silver Oak, Opp. Panchal Hall, Town Hall Road, ANAND - 388 001.		

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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.



**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.
32. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.



## 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/commodities 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/commodities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities/commodities 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.





# RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET, DERIVATIVES SEGMENTS & COMMODITY SEGMENTS

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

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

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

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

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

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

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

## 1. BASIC RISKS :

### 1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/commodity/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/commodity/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / commodities / derivatives contracts than in active securities / commodities

/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 / commodities / 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 / commodities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying or selling securities / commodities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities/commodities/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 / commodity / 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 / commodity / 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 / commodities / derivatives contracts. This in turn will hamper better price formation.

### 1.4 Risk-reducing orders:

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

**1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

**1.4.2** A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed "away" from the current price of a stock / commodity / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be



executable since a security / derivatives contract might penetrate the predetermined 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 / commodity / 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 / commodity / contract.

#### **1.6 Risk of Rumors:**

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

#### **1.7 System Risk:**

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

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

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

#### **1.8 System/Network Congestion:**

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

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

##### **2.1 Effect of "Leverage" or "Gearing":**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

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

**B.** If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

**C.** Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

**D.** In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

**E.** You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

#### **2.2 Currency specific risks:**

**1.** The profit or loss in transactions in foreign currency denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

**2.** Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

**3.** Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

#### **2.3 Risk of Option holders:**

**1.** An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

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



#### **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions g 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/commodities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

#### **4. GENERAL**

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

### **ADDITIONAL RISK DISCLOSURE DOCUMENTS FOR OPTIONS TRADING**

#### **Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

#### **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.



**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 shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account the stock broker shall send to you a statement of 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 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, he may retain funds/margin to the extent of values of transactions executed on a trade day 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.



# POLICIES AND PROCEDURES OF THE STOCK BROKER, DP TradeKING Private Limited

## As per SEBI Circular MIRSD/SE/Cir-19/2009 dated December 3, 2009

### 1. REFUSAL OF ORDERS FOR PENNY STOCKS

DP TradeKING Private Limited ("DPTKPL") normally offers trading facility to its clients in all the compulsorily dematerialised stocks which are listed on the Stock Exchanges. However, DPTKPL discourages/ restricts trading in penny stocks by the clients as they are susceptible to manipulation and risky for investors and in turn to DPTKPL.

#### "Penny Stocks" for this purpose shall include:

- a. Stocks appearing in the list of illiquid securities/commodities issued by the Exchanges from time to time.
- b. Stocks which are highly illiquid and have a low market capitalization and 'Z' Group Securities/commodities.
- c. Any securities/commodities as may be restricted for trading by Exchanges.
- d. Stocks categorized by exchange in ASM, GSM, Unsolicited SMS.
- e. Any other securities/commodities as may be restricted for trading by DPTKPL based on its internal evaluation.

As a part of Risk Management System, DPTKPL restricts clients to buy/ sell in penny stocks only on the basis of 100% upfront margin and on delivery basis. Also, DPTKPL have/may have in place further restrictions in terms of quantity/ value in each/all penny stocks together as notified by its extant circulars. Further in case of Internet Trading clients, DPTKPL may at any time at its sole discretion block/ restrict the client's online trading terminal to prevent the client from placing orders in such penny stocks through the Online Trading Platform of DPTKPL. Further in case the client is able to

place an order for penny stocks which are restricted by DPTKPL through Online Trading Platform or otherwise, DPTKPL may not accept such order.

DPTKPL shall not be held liable for restricting/ prohibiting trade in penny stocks at any time. Further, DPTKPL shall not be held liable or responsible in any manner whatsoever for any refusal/cancellation of orders for trading in penny stocks/other securities/commodities and the Client shall indemnify DPTKPL in respect of any loss caused to DPTKPL by virtue of the Client trading in penny stocks.

### 2. SETTING UP OF CLIENT'S EXPOSURE LIMITS

As part of risk management, 'DPTKPL' accepts margin from clients in form of funds, pledged securities/commodities and other forms prescribed by Regulator from time to time.

Margin available for trading margin = Adjusted Ledger Balance + After Haircut Value of pledge stocks/commodities – Required exchange margin on unsettled sell transactions/Unsettled derivative credit bills.

The trading ledger balance is adjusted to factor unclear cheque, value of undelivered stocks and debit balance in broker margin funding account from the clients trading ledger balance.

DPTKPL shall set client's exposure limits depending on the type of securities/commodities provided as Margin/ available funds in the client's ledger. Exposure limits are also set based on categories of stocks/ position (derivatives) client can trade. Securities/commodities that are acceptable as margin and their categorization may be changed by DPTKPL from time to time at its sole discretion. Further client categorization may also be changed based on various factors including trading pattern of clients, profile/ residential status/ financial status of client. DPTKPL from time to time shall apply such haircuts as may be decided by DPTKPL on the approved securities/commodities against which the Exposure limits are given to the client. DPTKPL may from time to time change the applicable hair cut or

apply a haircut higher than that specified by the Regulators/Exchanges as part of its Risk Management System.

Subject to the client's exposure limits, client may trade in securities/commodities and/ or take positions in the futures and options segment. Client shall abide by the exposure limits, if any, set by DPTKPL or by the Exchange or Clearing Corporation or SEBI from time to time. Limits/ Exposure provided shall vary based on the intraday/ delivery/ carry forward positions made by the client.

The exposure limits set by DPTKPL does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate DPTKPL in the event of DPTKPL suffering any loss, harm or injury on account of exposure given and/or withdrawn. In case of sale of Securities/commodities, such sale may at the discretion of DPTKPL be provided only to the extent of the availability of securities/commodities in the account of the client (DP free Stock, DP lien/ hold marked securities/commodities). Further the credit received against sale may be used for exposure as may be decided by DPTKPL from time to time.

In case of derivatives, Clients shall be allowed to trade only up to the applicable client wise position limits set by the Exchanges/Regulators from time to time. DPTKPL may from time-to-time demand additional margin from the client in the form of funds or securities/commodities if there is a requirement for the same and the client shall be required to provide the same.

#### A. Capital Market Segment (including SLBM segment)

It is mandatorily to pay VaR margins, Extreme loss Margin (ELM) and other applicable margins (ranging between 20% - 100%) on an upfront basis i.e. in advance of trade. Other margins such as Mark-to-market margin (MTM), delivery margin, special/additional Margin or such other margins as may be prescribed from time to time, shall be collected within 'T+2' working days.

Intraday trading, Cover and bracket order (in Equity segment of NSE, BSE) is provided on selected scrips to clients for buying and short selling subject to upfront margin between 20% to 100% (subject to changes). All open positions of the client marked as intraday trades, are compulsorily squared off on best effort basis before end of the day irrespective of profit or loss making positions.

#### B. Derivative segment (Equity, Currency, Commodity etc.)

It is mandatory to pay SPAN/ Initial margin & Extreme loss margin on an upfront basis i.e. in advance of trade. Delivery Margin (for F&O) and margin on consolidated crystallized obligation (for F&O and Currency) shall be payable by T+1 day. However, in case of currency future contracts, final settlement amount shall be payable by T+2 day. Further, for Commodity derivatives, other margins such as Mark-to-market margin (MTM), delivery margin, special/additional Margin or such other margins as may be prescribed from time to time, shall be payable within 'T+2' working days.

All open positions of the client marked as intraday trades, are compulsorily squared off on best effort basis before end of the day irrespective of profit or loss making positions. C. T+6 Settlement

After creating buy position with upfront margin requirement between 20% to 100% (subject to changes), the settlement amount has to be paid before T+6'day. No further exposure to the clients when debit balances arise out of client's failure to pay the required amount and such debit balances continues beyond



the fifth trading day, as reckoned from date of pay-in.

**D. Broker margin funding facility in equity segment (NSE)**

The facility allows the client to carry forward equity positions till the time positions are squared off or payment is made. The upfront Margin & MTM as applicable and required to be paid in the form of funds/ pledged securities. Further, the clients are required to authenticate the funded stock pledge within the prescribed else funding on given security will be reversed on T+1 EOD.

**3. APPLICABLE BROKERAGE RATES**

The Schedule of Brokerage and other charges available by DPTKPL on the clients are provided under the heading "Tariff Sheet" in this Form. Within the mentioned scale, the brokerage and other charges will be charged as agreed by the client in that section. If there is any upward revision of brokerage, the same will be informed to the client with 15 days prior notice. However, all the brokerage and other charges are subject to the maximum limits as prescribed by SEBI/ Exchanges/ Government and other Regulatory authorities from time to time.

**4. IMPOSITION OF PENALTY OR DELAYED PAYMENT CHARGES**

The clients are required to settle the pay-in/ provide margin within the time limits provided by Exchanges/ SEBI/ DPTKPL risk management system. In case the client fails to provide the same within the prescribed time, delayed payment charges up to 2% per month shall be levied on the client's account on any delayed payments towards trading either in the cash or derivatives segments or on account of any other reason beyond the due date of payment as may be prescribed by DPTKPL. Such delayed payment charges shall be directly debited to the account of the Client. This is only a penal measure and brings in discipline in the clients to clear the dues in time as DPTKPL had to clear its obligations to the Exchange as per the time limits set by the Exchanges. DPTKPL reserves the right of imposition of delayed payment charges on the client account and the client shall be liable for payment of such charges at such rate as may be prescribed by DPTKPL from time to time.

**5. RIGHT TO SELL CLIENTS SECURITIES/COMMODITIES OR CLOSE CLIENTS POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT ON ACCOUNT OF NON-PAYMENT OF DUES. (LIMITED TO SETTLEMENT/MARGIN OBLIGATIONS)**

As a part of its Risk Management System, DPTKPL shall have the sole discretion to square off the open position of the Client and/ or sell clients' securities/commodities (including securities/commodities maintained as margin with DPTKPL and securities/commodities lying in client's beneficiary/ demat account) in case the client fails to meet its settlement/margin obligations in time. The specific securities/commodities to be sold and the positions to be squared off shall be decided solely by DPTKPL. Further, the square off of client's open position or the selling of securities/commodities may be executed on best effort basis on such Exchanges and at such price as may be decided by DPTKPL. DPTKPL shall have no obligation of communicating the same to the Client. DPTKPL shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the client due to such squaring off of the open position of the client. DPTKPL reserves the right to square off client's open positions or sell clients' securities/commodities under

**following circumstances:**

- A. Where the limits given to the Client have been breached inter-alia; i) Block and sell – In case of Non broker margin funding clients, at the end of the day clients are required to maintain

minimum 20% margin (subject to changes) in approved form of margin as per DPTKPL. Client needs to pay 100% margin for unapproved category of stocks as per DPTKPL scrip categorization and haircut policy.

For broker margin funding clients, at the end of the day clients are required to maintain minimum margin and MTM loss requirement on funded stocks as prescribed by the exchange from time to time.

Failing to above, clients will be marked in block and sell category and clients need to provide shortfall margin before 8.30 am of next trading session to avoid risk selling by RMS. Block and sell clients are kept in square off mode till the time RMS liquidation process completed. Normally, RMS liquidates positions on best effort basis between 9.15 am to 9.45 am or such other time at its discretion. The square off mode gets removed after entire process gets completed. The securities/commodities would be liquidated as per discretion of the DPTKPL.

- ii) T+6 Settlement - Clients need to settle pending dues and unpaid securities on or before 6th day of purchases either by way of pay-in or selling the holdings. In case of failure of settlement by client, DPTKPL RMS will liquidate unpaid securities and unsettled amount as per T+6. In liquidation process, first Unpaid securities get liquidated on FIFO basis and thereafter other securities get liquidated to recover any pending amount as per T+6. Unclear cheque is not considered on T+6 day as settlement.
- iii) Intraday Trades (All segment)-All open positions of the client marked as intraday trades, are compulsorily squared off on best effort basis before end of the day irrespective of profit or loss making positions. The out of the money options contracts in derivative segment will not be square-off after 3.15 pm on the expiry day. For any reasons positions remains open, the client is liable for the delivery settlement / carry forward positions and also needs to make payment of required margin before end of day. DPTKPL shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.
- B. Where the Client has defaulted on their existing obligation and / or have failed to make payments / deliver securities/ commodities to DPTKPL within the stipulated time period as may be prescribed by DPTKPL.
- C. In addition to above, in case of equity, commodity and currency derivatives transactions,
  - i) where the margin or security placed by the Client with DPTKPL falls short of the applicable minimum margin as may be required to be maintained by the client;
  - ii) Where Mark to Market Loss on the open position has reached the stipulated % of the margins placed with DPTKPL and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss;
  - iii) If the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.
  - iv) Physical settlement in derivative segment
    - a. All open positions in stock future and options are liable for compulsory physically settled. On the expiry day after 2.00 pm DPTKPL do square off in these contracts.
    - b. Out of money option contracts are not liable for the physical settlement hence these contracts are not squared off by DPTKPL on the expiry day at 2.30 pm. DPTKPL shall not be responsible. If any contracts convert to "In the money" from "out of money" after 2.30 pm.
    - c. The netted off positions before doing square off is calculated as per below table. The positions netted off with the options writing positions are having risk of physical settlement as buyer of the CALL options has right (but not obligation) to buy the shares at the strike price before or on the expiry date and buyer of the PUT options has right (but not obligation) to sell the shares at the strike price before or on the expiry date.



Position	Position
FUTURE BUY	ITM PUT BUY
FUTURE BUY	ITM CALL SELL
FUTURE SELL	ITM PUT SELL
FUTURE SELL	ITM CALL BUY
ITM CALL BUY	ITM PUT BUY
ITM CALL SELL	ITM PUT SELL
ITM CALL SELL	Holding Available in client DP
ITM PUT BUY	Holding Available in client DP
FUTURE SELL	Holding Available in client DP

d. For any reasons positions remain open is liable for the delivery settlement positions. Client needs to make payment of required margin before end of day, delivery of shares towards payin obligation, payin of funds on T+1. DPTKPL shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

e. On the monthly Expiry Day, RMS will square off ITM (In the money) options & future stock contract to avoid any physical delivery settlement by End of Day (EOD), however for stock option contract square offs shall include two (2) strike price on the upper or lower side of the ITM contract to avoid any volatility risk.

**D. In case of commodity derivatives transactions,**

1. Clients having open positions in compulsory deliverable contracts must be squared off before the start of tender / delivery period

i.e. 5 days prior to expiry date. Further, new positions will not be allowed during tender / delivery period of 5 days.

2. In case client wishes to opt for delivery-based settlement for any commodity, consent should be given for the same to the Relationship Manager either in writing or through its registered email. In such cases, buyer needs to ensure that sufficient margin against the deliverable quantity is lying with the DPTKPL to meet the obligations. The Seller who intends to give delivery needs to ensure that the physical commodity is made available and the same is reflected in the COMRIS / COMTRACK / CCRL/NERL account before the Tender period begins.

3. Clients having positions where contracts are either cash settled or settled at due date rate (DDR) must be squared on or before expiry of the contract.

DPTKPL reserves the right to square off the open position of client and/ or sell client's securities/commodities under the prescribed circumstances. However, DPTKPL is not obligated and does not guarantee to square off the open positions and/ or sell client's securities/commodities. The client shall be solely responsible for the trading decisions taken by the client. It shall be the responsibility of the client to make payments towards outstanding obligations and/ or applicable margins to DPTKPL in time irrespective of whether DPTKPL exercises its right to square off the positions of the client in accordance with the provisions given herein above.

Client shall be solely responsible for any resultant losses incurred due to selling of client's securities/commodities by DPTKPL or squaring off the client's open positions or for not doing so. All losses in this regard shall be borne by the CLIENT and DPTKPL shall be fully indemnified and held harmless by the CLIENT in this behalf.

The CLIENT accepts to comply with DPTKPL's requirement of payment of Margin/ settlement obligations immediately failing which DPTKPL may sell, dispose, transfer or deal in any other

manner the securities/commodities already placed with it as Margin or square-off all or some of the outstanding F&O positions of the CLIENT as it deems fit at its sole discretion without further reference to the CLIENT and any resultant or associated losses that may occur due to such square-off/ sale shall be borne by the CLIENT and DPTKPL shall be fully indemnified and held harmless by the CLIENT in this behalf at all times

Physical delivery and cash settled contracts in commodity segment - DPTKPL shall square off Cash settled contracts on the expiry day (subject to changes) and physically settled contracts before 5 working days of expiry date. For any reasons positions remains open, the client is liable for the delivery settlement positions including delivery of commodity towards pay-in obligation, pay-in of funds and needs to make payment of required margin before the end of the day. DPTKPL shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

E. The mark to market loss is monitored against the margins available in the trading account. The Client's margins available is total of adjusted ledger balance + Holding value of pledge securities/commodities ure margin requirement on derivative segment + Receipt of funds during the day – payment of funds during the day. DPTKPL shall not be hold responsible for any delay, losses, brokerage, other charges, margin shortfall penalties etc.

a. The client is notified once mark to market loss reaches to 50%of the client networth available in trading account.

b. All open positions of all derivative segment and intraday products would be liquidated once mark to market loss reaches 80% of the client net-worth available in trading account or even earlier at the sole discretion of DPTKPL without due intimation to clients.

**6. SHORTAGES IN OBLIGATION ARISING OUT OF INTERNAL NETTING OF TRADES FOR EQUITIES OR PHYSICAL SETTLEMENT OF EQUITY DERIVATIVE CONTRACT**

In case the client defaults on its existing obligation which results in delivery shortage to the Exchange, the same shall be compulsory auctioned as per defined Exchange procedures from time to time. However, in case the client defaults on its existing obligation and in the event the trade has been internally netted off at DPTKPL, there could be internal shortages and the same shall also be handled as per the process of auction specified by the Clearing Corporations ('CC'). Hence, it may be noted that with the implementation of the NCL Circular No. NCL/CMPT/63669 dated: Aug 30th, 2024 & ICCL Circular No. 20240902-8 dated: Sep 02nd, 2024, internal auction mechanism of clearing corporation will be used for handling internal Shortages.

DPTKPL shall not be responsible for losses to the Client on account of such shortages. Any losses to the client on this account shall be borne solely by the respective client.

**7. CONDITIONS UNDER WHICH CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITIONS OR BROKER MAY CLOSE EXISTING POSITIONS OF CLIENT**

In addition to the conditions as provided under the policy of right to sell securities/commodities and close out client's open position as detailed in point 5 above, DPTKPL shall have the right to refuse to execute trades/ allow the client to take further positions and/ or close out the existing positions of client under following circumstances:

- As a result of any Regulatory directive/ restriction;
- Non-receipt of funds/ securities/commodities and/ or bouncing of cheque received from the client towards the obligation's/margin/ ledger balances;
- Due to technical reasons;





- d. securities/commodities breaching the limits specified by the Exchanges/regulators from time to time
- e. In case of failure to meet margin including mark to market margins by the client;
- f. Any other conditions as may be specified by DPTKPL from time to time in view of market conditions, regulatory requirements, internal policies etc. and risk management system;
- g. Due to any force majeure event beyond the control of DPTKPL. DPTKPL shall not be responsible for any loss incurred and the client shall indemnify DPTKPL in this regard.

**8. TEMPORARILY SUSPENDING OR CLOSING OF CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST**

DPTKPL may suspend or close the trading account of the client pursuant to SEBI or any other Regulatory directive for such period as may be prescribed by the respective Regulator. DPTKPL may further at its sole discretion and with/without information to the CLIENT, prohibit or restrict or block the CLIENT's access to the use of the web site or related services and the CLIENT's ability to trade due to market conditions and other internal policies including policy with respect to prevention of money laundering.

Trades in the account of the client during the period of such temporary suspension shall not be permitted.

Notwithstanding any such suspension/ closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure/ suspension shall continue to subsist and binding on the client. In case the account has been temporarily suspended at the request of the client, the account shall be reactivated only on submission of a written request for reactivation by the client.

**9. DEREGISTRATION OF A CLIENT**

Deregistration of the client/ Termination shall be at the sole discretion of DPTKPL. DPTKPL may deregister the client if the client breaches the terms and conditions of the member-client agreement or provides any false information or declarations. Further DPTKPL may deregister the client if the client is suspected to be involved in any activities in violation of applicable Rules and Regulations. Further, the client may be deregistered due to any Regulatory directive, market conditions and other internal policies of DPTKPL including policy with respect to prevention of money laundering. Such deregistration/termination shall not affect the rights and liabilities of the parties in respect of the transactions executed before the date of such deregistration/ termination.

**10. TREATMENT OF INACTIVE ACCOUNTS**

Pursuant to SEBI and Exchange directive, Trading and/or demat account will be considered as 'Inactive account' if the client has not operated the same for continuous period of 24 months. Such inactive account will be blocked for further transactions by the client. The client has to make written request for reactivation of their account. During the blocked period if there are any debit / dues to DPTKPL Capital Market Limited in client's account, DPTKPL shall have the authority to liquidate the client's position to the required extent during the blocked period.



## **Policy on Handling of Good till Cancelled / Good till triggered / Good till date Orders of Client**

“Good till cancelled/Good till triggered/Good till date or any other similar type of order as offered by DP TradeKING to its clients, means such orders which enables clients to place buying and selling orders by specifying the price and also time frame for which an order would remain valid for placing on the stock exchange platform. Such type of orders once placed by the client remains valid in our system till the time it is executed or cancelled by client on his own or on the expiry of time specified by client while placing such orders. Following policy governs the framework with regard to placement

of such orders by clients:-

1. The order shall remain active in our system up to the period specified by client while placing order or up to 365 calendar days from the placement of order, whichever is lower, unless executed or cancelled by the client before expiration. After expiry of above period, such orders shall be automatically cancelled.
2. In the event of a corporate action declared by a corporate with regard to the scrip for which for which such order is placed by client, DP TradeKING shall not modify/cancel such unexecuted orders on its own.
3. DP TradeKING shall inform the clients on his registered email id at least one day prior to the ex- ate of corporate action, regarding corporate action announced by corporates, in case client has any such unexecuted/pending order in our system.
4. On receipt of information about corporate action, clients are advised to review their unexecuted/pending orders in our system and take appropriate action such as cancellation/modification of unexecuted/pending orders subject to the conditions regarding margin/order placement rules as applicable.
5. Clients are advised that GTC/GTT/GTD/any other similar nature of orders. carry certain risks, including but not limited to the potential for execution at unexpected prices due to market movements or corporate actions. Clients are encouraged to regularly review and manage their open orders.
6. In case, client suffers any loss due to execution/non-execution of such orders, DP TradeKING shall not be held responsible for the same.
7. There may be time to time updation in the policy, clients are advised to visit our website for updated policy details.



# VOLUNTARY DOCUMENTS

## TERMS & CONDITIONS

1. Client agrees to set off outstanding in any of his/her/its accounts against credits available or arising in any other accounts maintained with Broker irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other Exchange and/or against the value of cash margin or collateral shares provided to Broker.
2. Client authorises the Broker not to provide Order Confirmation/Modification/Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. Client shall get the required details from contract notes issued by Broker.
3. Client authorises Broker to keep all securities which Client has given in margin including the payout securities received by Broker for meeting margin/order obligation in any of the Stock Exchanges/Clearing House/Clearing Corporation in whatever manner which may include pledging of shares in favor of bank and/or taking loan against the same or meeting margin/pay-in obligation on client's behalf or for giving the same as margin to any of the stock exchanges/ clearing house/clearing corporation or otherwise. Further, Client shall when called upon to do so forthwith from time to time provide a Margin Deposit and/or furnish additional Margin as required under the Rules and Regulations in respect of the business done by the Client and/or as agreed upon by Client with the Trading Member.
4. Client authorises broker to retain credit balance in any of his/her/its account and to use the unused funds towards his/her/its margin/future obligation at any or both the Exchanges unless the client instruct otherwise. Client also authorize broker to debit the necessary demat charges from time to time, for keeping the shares / commodities in Broker client demat beneficiary account on Client's behalf. Client also agrees to debit the charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in client's account and not settled as per the exchange requirements.
5. Client agrees and permit the stock broker to retain Securities / Commodities in their demat account for his/her/its margin/future obligations at all Exchanges, unless the client instructs the stock broker to transfer the same to his/her/its account.
6. Client agrees and permits the stock broker to consider his/her/its telephonic instructions for order placing/order modification/order cancellation as a written instruction and permit to provide all the confirmation on telephonic unless instructed otherwise in writing.
7. Client authorises the stock broker/exchange/other regulatory authority to send/dispatch contract notes/e-mail alert/other documents through e-mail on his/her/its designated e-mail address mentioned in KYC. Client shall completely rely on the log reports of dispatching software as a conclusive proof of dispatch of e-mail to the client and shall not dispute on the same. Non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at e-mail ID of the client.
8. Client shall inform the stock broker change of his/her/its email ID.
9. The client shall not sublet the trading terminal on any term of connectivity from his/her/its place to any other place without prior approval of stock broker.
10. The client agrees and permits the stock broker for inter-settlement transfer of securities towards settlement.
11. The client agrees and authorises the stock broker to with hold funds pay-out towards all the applicable margins and debits.
12. Client understands and permits to recover all fines/penalties and charges levied upon trading member due to client's acts / deeds or transaction
13. Client permits and authorises to debit the charges relevant with depository services from client's trading account. The client also agrees to maintain the adequate balance in his/her/its trading account/ pay adequate advance fee for the said reason.
14. Client permits and authories the stock broker to discontinue sending contract note/other documents/details/information on client's email ID if contract notes get bounced for more than 5 times and to start sending physical documents. The client also permits and authorities to charge administrative/other charges for the same.
15. The Stock Broker may from time to time amend these terms and conditions if required, for complying with any change in Statute, Regulation or with the requirements of any competent authority without the consent of the Client. The Stock Broker may from time to time amend the terms and conditions with the intimate of the Client. The amended terms and conditions shall be intimated in advance to the Client by the Stock Broker atleast 7 days or such other period as may be prescribed by SEBI. In case the Client continues to deal with the Stock Broker subsequent to the intimations of such amendments, the Client agrees and acknowledges that it shall be deemed that the Client is agreeable to the new clauses. However, if the Client is not agreeable to such new terms and conditions, the Client has the right to terminate the relationship with the Stock Brokers as per rights & obligation prescribed by SEBI through communication in writing subject to the meeting of the financial and other obligations under these terms and conditions or any other agreement / arrangement.
16. In case any one or more of the provisions contained in the terms and conditions becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto
17. The Client confirms having read and understood these terms and conditions and those relating to various services and products and accepts and agrees to be bound by all the terms and conditions including those excluding /limiting the Stock Broker's and Exchange's liabilities
18. Trading in the Exchange is in Electronic Mode, based on VAST, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. Client understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/front and system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. Client shall be fully liable and responsible for any such problem/fault.

### INTERNET TRADING - TERM AND CONDITIONS

The Stock Broker offers and/or proposes to offer the Internet Trading Service to its Clients; and the Client desires to avail of the Stock Broker's internet trading service for purchasing, selling or otherwise dealing in securities subject to the terms and conditions set out herein the client shall be deemed to have read, understood and agreed to the following terms and conditions in the event the Client avails the Internet Trading service provided by the Stock Broker:



## 1. DEFINITIONS:

1. In these terms and conditions (including the recitals above), unless the context otherwise requires the following words shall have the following meanings:
  - (I) "Exchange Provisions" means the Rules, Byelaws, Regulations, Business Requirements, specification, handbooks, notices, circulars and resolutions of the exchange or any segments of the
  - (II) Exchange in force from time to time. "Internet Trading" means Internet based Trading through Order Routing system, being a system approved by the Exchange for enabling clients to route their order to Stock Broker over the internet.
  - (III) "Internet Trading Account Application" means the Client Registration form along with the other supporting documents submitted by the Clients to the Stock Broker to permit the Client to avail of the Stock Broker's Internet Trading Service.
  - (IV) "Internet Trading Service" or "Service" means the service offered by the Stock Broker to its clients through Internet Trading where under the clients can route their orders for purchase, sale and other dealings in Securities/Commodities through the Stock Broker's Internet Trading System.
  - (V) "Password" means an alphanumeric code used by the Client to validate his/her username and access the Service.
  - (VI) "Stock Broker's on the Internet Trading Website" means the web site hosted by the Stock Broker on the internet through which the Stock Broker offers the Internet Trading Service and includes the hardware and software used for hosting and supporting the Website or any other system through which Stock Broker offers the Internet Trading Service.
  - (VII) "Username" means an alphanumeric login identification used by the Client for accessing the Service.

## 2. INTERNET TRADING SERVICE:

The Stock Broker provides the internet Trading Service to the Client subject to these terms and conditions and the provisions of the rights & obligations of stock broker, the exchange provisions, SEBI guidelines and the terms of the Website through which Internet Trading Service is provided. The Stock Broker shall be entitled to / alter these terms and conditions and the same shall be deemed to be a notice to the Client. The use of Internet Trading acceptance by the Client of said terms and conditions including any modifications /alteration thereto.

## 3. USER NAME AND PASSWORD

- 3.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker 's Internet Trading Website for availing of the Internet Trading Service.
- 3.2 The Client is aware that the Stock Broker 's Internet Trading Website itself generates the initial password encrypts and passes on the password to the client. The Client agrees and undertakes to immediately change his initial password upon receipt thereof and subsequently to change his password with the period stipulated by the Stock Broker. The Client is aware that subsequent passwords are not known or available to the Stock Broker
- 3.3 The Client shall be responsible for keeping the username and password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock Broker's Internet Trading Website using the Client's Username and/or password whether or not such person was authorized to do so.
- 3.4 The Client shall immediately inform the Stock Broker of any unauthorized use of the Client's Username or Password with full details or such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorized used, the transactions effected pursuant to such unauthorized use etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for

routing orders over the internet including the risk of misuse and unauthorized use of his username and/or password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's Internet Trading Website and unauthorized routing orders on behalf of the Client through the System. The Client shall be

fully liable and responsible for any and all unauthorized use and misuse of his password and/or username and also for any and all acts done by any person through Stock Broker's Internet Trading Website on the Client's username in any manner whatsoever. The Client undertakes to ensure that the password of the Client and/or his authorized representative are not revealed to any third party including employee/representative of the member.

- 3.6 The Client shall log off from the Stock Broker Internet Trading Website at any time the Client is not accessing or using the Internet Trading service and any liability incurred to the Client as a consequence of the Client not logging off the service shall borne solely by the Client.

- 3.7 Without prejudice to the provisions of Clause 3.5, the Client shall immediately notify the Stock Broker in writing with full details if:

- (i) He discovers or suspects unauthorized access through his User name, Password or account.
- (ii) He notices discrepancies that might be attributable to unauthorised access.
- (iii) He forgets his password or
- (iv) He discovers a security flaw in the Stock Broker's Internet Trading Website. In any of the above events specified in clause 3.7, the Client shall immediately change his password. However, if the Client is unable to change his password by reason of his having forgotten his password or his password having been unauthorized changed by some other person or for any other reason then the Client shall immediately request the Stock Broker in writing to discontinue his password; and there upon the Stock Broker shall block the login to discontinue the use of the Client's password and Stock Broker's Internet Trading Website shall generate a new password for the Client which shall be communicated to the Client. At no point in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the password.

## TECHNICAL & FUNDAMENTAL RESEARCH REPORTS ON DERIVATIVES (TFR)

**Caution:** Trading in the capital/derivatives/currency segments using Technical Charts or Short Term Indicators involves high risk and requires skill, experience and knowledge of the capital/derivatives/currency segments. Certain transactions including those involving Futures, options & other derivatives as well as other non-investment grade securities contain substantial risk and are not suitable for all investors. STOP LOSS ORDERS help limit loss but even placing contingent orders, such as "stop-loss" or "stop-limit" orders will not necessarily limit your losses to the intended amounts, and it is important that only a small portion of your corpus is allocated to such trading. Leverage can lead to large losses as well as gains. You may sustain a total loss of the initial margin funds and any additional funds that you deposit with us to establish or maintain a position, and you may incur losses beyond your initial investment.

## TERMS AND CONDITIONS (TFR)

DP TradeKING Private Limited (DPTKPL) will, at its discretion, provide its trading call, based on Technical and Fundamental Research as also market news to its clients either in the form of a written market commentary or research report sent in e mail, fax form, SMS or through postal or courier service. A brief extract of the TFR reports may also be sent, on enrolment, in SMS, e-mail or fax form.

**To avail of TFR reports, clients are required to understand,**





**confirm & accept the following:**

1. Clients have read and understood in full the terms and conditions contained in the member client agreement and risk disclosure documents provided therein. Clients are also to read and understood the important disclosures and disclaimers forming part of each report.
2. TFR reports are of general information for clients of DPTKPL. They do not constitute a personal recommendation or take into account the particular investment objectives, financial situations, or needs of the individual clients.
3. No information published in TFR Reports constitute a solicitation or offer, or any kind of recommendation, to buy or sell any Investment instruments, to effect any transactions, or to conclude any legal act of any kind whatsoever and the risk of loss on the basis of information published in TFR reports can be substantial. Clients should, therefore, carefully consider whether such trading is suitable for them in light of their circumstances and financial resources.
4. The information published and opinions expressed are provided by DPTKPL for personal use and for informational purposes only and are subject to change without notice, DPTKPL makes no representation (either express or implied) that the information and opinions expressed in TFR Reports will be accurate, complete or up to date. The stated price of any securities mentioned in TFR Reports will be as of the date indicated and is not a representation that any transaction can be effected at this price. Neither DPTKPL nor other persons shall be liable for any direct, indirect, special, incidental, consequential, punitive or exemplary damages, including lost profits arising in any way from the information contained in TFR Reports.
5. DPTKPL will exercise due diligence in checking the correctness and authenticity of the information contained in TFR Reports, but DPTKPL or any of its affiliates or directors or officers or employees shall not be in any way responsible for any loss or damage that may arise to any person from any inadvertent error in the information contained in TFR Reports or any action taken on basis of TFR Reports. Price and value of the securities forming part of TFR Reports may go up or down. Past performance is not a guide for future performance.
6. DPTKPL may use brand names for all or any of TFR reports. Such names would represent the brand and not the nature or feature of TFR reports.
7. TFR reports will include commentary on derivatives trading, technical, fundamental analysis and limited review of Stocks and may not be based on comprehensive or fundamental of the stocks.
8. DPTKPL has two independent equity research groups: Institutional Equities Research Group and Private Client Group. The Private Group is responsible for the preparation of TFR Reports. A designated team from the Private Research Group also prepares reports based on fundamental evaluation of companies. The views and opinions expressed in TFR Reports may or may not match or may be contrary with the views, estimates, rating, target price, of reports of the Institutional Research Group and Private Client Group dealing in fundamental research. Further, there may be a contrary view within the TFR Reports with regard to estimates, rating, target price as evaluation are based on different criteria.
9. The contents of the TFR Reports cannot be copied, reproduce, republished, uploaded, posted, transmitted or distributed for any non-personal use without obtaining prior permission from DPTKPL.
10. The proprietary trading and investment businesses of the DP TradeKING Group may make investment decisions that are inconsistent with the views expressed in the TFR reports.
11. DPTKPL and its affiliates, officers, directors, and employees world-wide may:

- (a) from time to time, have long or short positions in, and buy or sell the stocks mentioned in the TFR Reports or
  - (b) Be engaged in any other transaction involving such securities and earn brokerage or other compensation or have other potential conflict of interest with respect to any view and related information and opinions mentioned in TFR Reports,
12. DPTKPL reserves the option to provide all or any of the TFR reports and the right to suspend or vary the whole or any part of the same for any reason, at any time at its sole discretion.
  13. Clients who enroll for SMS/e-mail/Fax delivery of brief extract of TFR reports are required to read the full reports.
  14. DPTKPL does not guarantee completeness, error, delay, interruption or timeliness or delivery in whole or in part of any of the TFR reports or their extracts. The same is provided on an "as-is" and "as-available" basis.
  15. Investors should not solely rely on the information contained in these TFR reports and must make investment decisions based on their own investment objectives, risk appetite, investment horizon, financial strength or other parameters. The client should take their own professional advice or consult SEBI registered Investment Adviser for these specific investment related advice/requirements and/or before acting on this information.

**ANTI MONEY LAUNDERING AWARENESS – EDUCATING CLIENTS ABOUT AML PROVISIONS**

**This is must read/ understood and to be complied by every one dealing/ desirous in dealing in Capital and / or Derivatives (including Currency Derivative/Commodity Derivative)**

1. Prevention of Money Laundering Act, 2002 (PMLA) is enacted to prevent the financing of terrorism and to prevent laundering of money i.e. to prevent legalizing or officialising or canalizing the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes etc.
2. PMLA is a part of the Global measures being taken by all the countries under the initiatives of United Nations.
3. It is an obligation of individual/entities to whom PMLA is applicable, to report certain kind of transactions routed through them to Financial Intelligence Unit (FIU), a department specially set up to administer PMLA under the Ministry of Finance.
4. PMLA is, inter-alia, applicable to various intermediaries which includes stock brokers, commodity brokers, sub-brokers, authorised person and depository participant etc.
5. As per PMLA the following type of transaction are to be reported to FIU:-
  - (A) All cash transactions of the value of more than `10 Lacs or its equivalent in foreign currency.
  - (B) All series of cash transactions integrally connected to each other which have been valued below ` 10 Lacs or its equivalent in foreign currency where such series of transactions takes place within one calendar month.
  - (C) All suspicious transactions whether or not made in cash and including, inter-alia, credits or debits into any non monetary accounts such as demat account.
6. Any such above transaction(s), though not executed but attempted and failed are also required to be reported
7. The suspicious transaction(s) can be related to the transaction(s) under the circumstances such as:-
  - (A) Client(s) whose identity verification seems difficult or client(s) that appear not to co-operate;
  - (B) Asset management services for client(s) where the source of the funds is not clear or not in keeping with client(s) apparent standing/business activity;
  - (C) Client(s) based in high risk jurisdictions;
  - (D) Substantial increases in business without apparent cause;
  - (E) Client(s) transferring large sum of money to or from overseas locations with instructions for payment in cash;
  - (F) Attempted transfer of investment proceeds to apparently unrelated third parties;



(G) Businesses undertaken by offshore banks/financial services;  
(H) Businesses reported to be in the nature of export/import of small items;

(I) Unusual transactions by Clients of Special Categories (CSCs).

**8. Clients of Special Categories includes: -**

- (A) Non-resident client;
- (B) High net-worth client (having annual income + networth of more than Rs. 1 Crore);
- (C) Trust, Charities NGOs and organizations receiving donations;
- (D) Company having close family shareholdings or beneficial ownership;
- (E) Civil Servant or family member or close relative of civil servant;
- (F) Bureaucrat or family member or close relative of bureaucrat;
- (G) Current or Former MP or MLA or MLC or their family member or close relative;
- (H) Politician or their family member or close relative;
- (I) Current or Former Head of State or of Governments or their family member or close relative;
- (J) Senior government/judicial/military officers or their family member or close relative;
- (K) Senior executives of state-owned corporations or their family member or close relative;
- (L) Companies offering foreign exchange offerings;

9. While opening the new account all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under PMLA.

10. All the record of transaction(s) and client identifications must be preserved in a manner which can be retrieved promptly and reported to the authorities in the specified format as and when required.

11. The Clients are advised to be fully conversant with the provisions of PMLA and any amendments thereto from time to time and to co-operate with intermediaries by providing the additional information(s)/document(s), if asked for, to ensure the compliance requirements under PMLA.

12. The Client are advised to provide certain information which may be of personal nature or has hitherto never been called for such information can include documents evidencing source of funds/income tax returns/bank records etc. You are advised to co-operate with us whenever such information is sought for from PMLA perspective.

13. The Clients are advised to be vigilant and to refrain from temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering freedom and causing damage to the nation. The Clients are supposed to provide their active cooperation in the due compliance of the law.

14. Please visit the website of Financial Intelligence Unit ([www.fiuindia.gov.in](http://www.fiuindia.gov.in)) and Securities and Exchange Board of India ([www.sebi.gov.in](http://www.sebi.gov.in)) for any further information on the subject.

**Pro Disclosure**

In pursuance of SEBI Circular No. SEBI/MRD/SE/ Cir-42/2003 dated November 19, 2003, with a view to increase the transparency in the dealings between the trading member and their Clients, all trading members are required to disclose to his clients whether they do Client based business or proprietary.

This is to inform you that we do client based trading and Pro-account Trading in National Stock Exchange of India Ltd (NSE)/Bombay Stock Exchange of India Ltd.(BSE)/ Metropolitan Stock Exchange of India Limited (MSEI) and The Multi Commodity Exchange of India Limited (MCX), National Commodity and Derivatives Exchange (NCDEX), Indian Commodity Exchange Ltd (ICEX)

**Email Mobile Declaration**

Client agrees to receive communications pertaining to trading and demat account like Trade Confirmations, Contract Notes, MTM Obligation, Margin Calls, transactions and holding statement or any other communication including the call from DP TradeKING etc to his/her/its mobile number/Email registered with DP TradeKING . Client also aware that the Commodity Exchanges and Depository have been pursuing a process of confirming the transaction details directly to the Clients via SMS and Email alerts which they have carried out through their respective Stock Broker. Accordingly, Client accord his/her/it's consent to receive those SMS as well as Emails alerts directly from the Exchanges/Depositories. Client hereby agrees and authorizes DP TradeKING to share the contact details with Exchanges/Depositories/KRAs and/or other regulatory Authority.



## FATCA & CRS TERMS AND CONDITIONS - FOR INDIVIDUAL

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the folio(s) or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

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

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND</li> <li>3. Any one of the following documents: <ol style="list-style-type: none"> <li>a. Certified Copy of "Certificate of Loss of Nationality or</li> <li>b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or</li> </ol> </li> </ol> Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>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; and</li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p>If no Indian telephone number is provided</p> <ol style="list-style-type: none"> <li>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; and</li> <li>2. Documentary evidence (refer list below)</li> </ol> <p>If Indian telephone number is provided along with a foreign country telephone number</p> <ol style="list-style-type: none"> <li>1. Self-certification (in attached format) 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; OR</li> <li>2. Documentary evidence (refer list below)</li> </ol>
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol style="list-style-type: none"> <li>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; and</li> <li>2. Documentary evidence (refer list below)</li> </ol>

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.



**DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) in favour of  
DP TradeKING Private Limited**













I/We \_\_\_\_\_ (Sole/First Holder) Jointly with \_\_\_\_\_ (Second Holder) and \_\_\_\_\_ (Third Holder) residing/registered office at \_\_\_\_\_ hold

Beneficiary Owner Account Number (BO ID) IN304182 \_\_\_\_\_ with National Securities Depository Limited (NSDL), through DP TradeKING Private Limited a Depository Participant registered with Securities and Exchange Board of India (SEBI) bearing DP ID IN304182, And whereas I/We am/are desirous to buy and sell securities through DP TradeKING Private Limited, a stock broker registered with SEBI and member recognized Stock Exchange/s (National Stock Exchange of India Limited and BSE Limited) bearing SEBI single registration number INZ000097030.

Whereas I/we authorize DP TradeKING Private Limited to operate my / our Beneficial Owner Account in a manner hereinafter appearing and subject to conditions as provided herein. Whereas I / We hereby am/are fully aware and understand that this DDPI is voluntary and I/we have been fully made aware of the explicit authority consented by me/us under this executed document.

I / We do hereby authorize DP TradeKING Private Limited (hereinafter referred to as the "Stock Broker / Stock Broker and Depository Participant") acting through any of its directors and/or its duly authorized officers to perform the following functions on my/our behalf:

**Demat Debit and Pledge Instruction**

S N	Purpose	Signature of the Client*			
		Sole / First Holder	Second Holder	Third Holder	
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker - DP TradeKING Private Limited.	FH 	SH 	TH 	UCC Code:
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) - DP TradeKING Private Limited for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	FH 	SH 	TH 	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	FH 	SH 	TH 	
4	Tendering shares in open offers through Stock Exchange platforms	FH 	FH 	FH 	BO ID:

\*The same may be eSigned or signed physically

I/We hereby covenant, ratify and confirm that all acts done and documents executed or signed by the stock broker / stock broker and depository participant pursuant to this DDPI has been made done and executed in good faith and shall for all-purpose be valid and binding on me/us and I/ we undertake to indemnify the stock broker / stock broker and depository participant against all actions proceedings claims, costs, expenses and liabilities of every description arising from the exercise or the purported exercise in good faith, of authorities conferred by this DDPI.

The stock broker / stock broker and depository participant may appoint and remove at its discretion any authorized signatories for or under this DDPI in respect of all or any of the matters contained herein upon such terms and conditions as the stock broker / depository participant may think fit.




I/We further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its office situated at: 3rd Floor, Silver Oak, Opp. Panchal Hall, Town Hall Road, Anand 388001, Gujarat. However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

SCHEDULE	Particulars of Client unpaid securities pledgee account A/c			Particulars of TM/CM CSMP (Client Securities Margin Pledged) A/c, of DPTKPL	
	IN304182	10057277	DP TradeKING CUSPA A/c		
	Particulars of Pool Account Nos. of DPTKPL (NSDL)			IN304182 10043770	DP TradeKING TM/CM CSMP A/c
	NSE		BSE	Particulars of Pool Account Nos. of DPTKPL (CDSL)	
	CMBPID : IN546743	CMBPID : IN520044	CM BP ID : IN666503	BSE (CM)(ISSL)1601480000849654	NSE(CM)(ISSL)1601480000849664
	IN304182 10057130	IN304182 10000004	IN304182 10000012	NSE (TM) (GCML) 1202060002234560	

This document shall be subject to jurisdiction of the courts in Anand.  
Dated at Anand on this \_\_\_\_\_ day of \_\_\_\_\_

SIGNED AND DELIVERED by the  
within named Beneficial Owner

Accepted By,  
For, DP TradeKING (P) Ltd.

	Sole/First Holder/Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signature	FH 	SH 	TH 

Authorized Signatory

**DP TradeKING Private Limited**

NSE TM Code : 90100 | BSE Clearing Code : 6650 | DP ID : IN 304182

Regd. Office : Opp. Panchal Hall, Town Hall Road, Anand 388 001.

T: +91 2692 247281 | Email: trading@dptradeaking.com

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

**Broker / DP Copy**

W.E.F.: 21-04-2025

Schedule 'A'

Brokerage Charges : **For Dealer Assisted Plan**Demat Charges : **For Non-BSDA Beneficial Owner**

Guidance and support from our dedicated dealers

**Dealer Assistance Service**

A dedicated dealer to plan, discuss and strategize your investments

UCC Code : \_\_\_\_\_

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

Brokerage Name	Standard Account	Power Investor	Ultra Trader
Tick Offered Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Account Opening Charge	Zero	Zero	Zero
Statutory Charge			
Stamp Charges (To be Paid to Stamp Vendor - Govt.)	320	320	320
KRA Charges (To be paid to CVL CKRA)	60	60	60
Brokerage			
Stock Delivery	0.49 %	0.39 %	0.29 %
Stock Intraday	0.049 %	0.039 %	0.029 %
Stock & Index Futures	0.049 %	0.039 %	0.029 %
Stock & Index Options	₹ 59 per lot	₹ 49 per lot	₹ 39 per lot
Currency Futures & Options	₹ 25 per lot	₹ 25 per lot	₹ 25 per lot
Interest Charges			
Interest on outstanding debit balance	18.00% p.a.	18.00% p.a.	18.00% p.a.
Schedule of demat charges			
Dematerialisation	₹ 10/- Per Certificate (Subject to Minimum of Rs. 75/- Per ISIN) + ₹ 50/- Courier Charge		
Rematerialisation			
DEMAT Rejection	₹ 30/- + GST		
Account Maintenance charges			
Dus Ka Dum* (ZERO AMC for 10 Years)	<input type="checkbox"/>	ZERO AMC for 10 Years	
Life Long – Resident	<input type="checkbox"/>	₹ 1000 + GST (One Time)	
Life Long - Non Resident Indians	<input type="checkbox"/>	₹ 2000 + GST (One Time)	
Corporates	<input type="checkbox"/>	₹ 100 + GST (Per Month)	
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		
Pledge Charges for margin purpose- Trading in Equity, Derivatives, Currency & Commodities.			
Request	₹ 25/- Per Transaction		
Release (Un-pledge)	₹ 25/- Per Transaction		








Pledge Charges for non-margin purpose (for all other purposes. For example: loan against securities/CUSPA A/c etc.)	
Request	₹ 50/- Per Transaction
Invocation (Excluded CUSPA A/c)	₹ 50/- Per Transaction

Other Charges	
Statements and Reports	
Contract note (Digital)	FREE
Duplicate hard copy contract note on client request	₹ 25 + GST per trading day for which contract notes have been requested
Digital copy (email) contract note for current /previous financial year	FREE
Digital copy (email) contract note for years prior to previous financial year	₹ 199 per year request
Holding Statement Soft copy via email	FREE
Holding Statement Hard copy	₹ 25 per statement per request
Digital copy for prior to previous financial year	₹ 199 per statement per year
SMS & Email Communication Charge	₹ 10 per month (For Active Accounts Only)

Other Services	
Cheque Collection / Deposit charges	₹ 25 + GST (for every cheque deposit or withdrawal)
Cheque Bounce charges	₹ 500 + GST
Call & Trade and RMS auto-squareoff	ZERO
Other Charges (Payable Upfront)	Slip Book Issuance      Loss & Misplace      Modification Charge of DIS Book
	₹ 25/- from Second Issuance      ₹ 70/-      ₹ 25/- Per Request

**Terms & Conditions :**

1. Brokerage is also charged on expired, exercise and assigned future and option contracts
2. 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.
3. 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.
4. GST & other Govt. Taxes, levies, etc. applicable as per the prevailing rates will be charges in addition to these charges.
5. Interest @ 18% p.a. will be charged on the outstanding bill amount if not paid within the due date.
6. Under the ZERO AMC Offer for 10 Years named as "Dus Ka Dum", No Annual Maintenance Charge will be levied to client for 10 years from the date of account opening. Client can continue maintaining DEMAT account after 10 years by availing any scheme at the time of completion of 10 years. Offer valid for Online Account Opening / e-KYC Only.
7. 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.

	Sole/First Holder/Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signature	FH 	SH 	TH 



# **Investor Charter**

**Document pertaining Investor Charter for  
Stock Broker and Depository Participant**



## Investor Charter - Stock Brokers

**Annexure-A**

### Investor Charter Stock Brokers

#### VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

#### MISSION

- i. To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii. To establish and maintain a relationship of trust and ethics with the investors.
- iii. To observe highest standard of compliances and transparency.
- iv. To always keep of as goal while providing service.

#### Services provided to Investors

- I. Execution of trades on behalf of investors.
- II. Issuance of Contract Notes.
- III. Issuance of intimations regarding margin due payments.
- IV. Facilitate execution of early pay-in obligation instructions.
- V. Periodic Settlement of client's funds.
- VI. Issuance of retention statement of funds at the time of settlement.
- VII. Risk management systems to mitigate operational and market risk.
- VIII. Facilitate client profile changes in the system as instructed by the client.
- IX. Information sharing with the client w.r.t. relevant Market Infrastructure Institutions (MII) circulars.
- X. Provide a copy of Rights & Obligations document to the client.
- XI. Communicating Most Important terms and Conditions (MITC) to the client.
- XII. Redressal of Investor's grievances.

#### Rights of Investors

- I. Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself (including website providing mandatory information).
- II. Receive complete information about the risks, obligations, and costs of any investment before investing.
- III. Receive a copy of all completed account forms and rights & obligation document.
- IV. Receive a copy of 'Most Important Terms & Conditions' (MITC).
- V. Receive account statements that are accurate and understandable.
- VI. Understand the terms and conditions of transactions you undertake.

- VII. Access your funds in a prescribed manner and receive information about any restrictions or limitations on access.
- VIII. Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties in form of tariff sheet.
- IX. Discuss your grievances with compliance officer / compliance team / dedicated grievance redressal team of the firm and receive prompt attention to and fair consideration of your concerns.
- X. Close your zero balance accounts online with minimal documentation
- XI. Get the copies of all policies (including Most Important Terms and Conditions) of the broker related to dealings of your account
- XII. Not be discriminated against in terms of services offered to equivalent clients
- XIII. Get only those advertisement materials from the broker which adhere to Code of Advertisement norms in place
- XIV. In case of broker defaults, be compensated from the Exchange Investor Protection Fund as per the norms in place
- XV. Trade in derivatives after submission of relevant financial documents to the broker subject to brokers' adequate due diligence.
- XVI. Get warnings on the trading systems while placing orders in securities where surveillance measures are in place
- XVII. Get access to products and services in a suitable manner even if differently abled
- XVIII. Get access to educational materials of the MIIs and brokers
- XIX. Get access to all the exchanges of a particular segment you wish to deal with unless opted out specifically as per Broker norms
- XX. Deal with one or more stockbrokers of your choice without any compulsion of minimum business
- XXI. Have access to the escalation matrix for communication with the broker
- XXII. Not be bound by any clause prescribed by the Brokers which are contravening the Regulatory provisions.

### Various activities of Stock Brokers with timelines

Sr. No.	Activities	Expected Timelines
1	KYC entered into KRA System and CKYCR	3 working days of account opening
2	Client Onboarding	Immediate, but not later than one week
3	Order execution	Immediate on receipt of order, but not later than the same day
4	Allocation of Unique Client Code	Before trading
5	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6	Issuance of contract notes	24 hours of execution of trades
7	Collection of upfront margin from client	Before initiation of trade
8	Issuance of intimations regarding other margin due payments	At the end of the T day
9	Settlement of client funds	First Friday/Saturday of the month / quarter as per Exchange pre-announced schedule
10	'Settlement of Accounts' for Funds, Securities and Commodities	Monthly basis
11	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12	Issuance of Annual Global Statement	30 days from the end of the financial year
13	Investor grievances redressal	21 calendar days from the receipt of the complaint

## Do's and Don't for Investors

Do's	Don'ts
<ol style="list-style-type: none"> <li>1. Read all documents and conditions being agreed before signing the account opening form.</li> <li>2. Receive a copy of KYC, copy of account opening documents and Unique Client Code.</li> <li>3. Read the product / operational framework / timelines related to various Trading and Clearing &amp; Settlement processes.</li> <li>4. Receive all information about brokerage, fees and other charges levied.</li> <li>5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.</li> <li>6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted.</li> <li>7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades.</li> <li>8. Receive funds and securities / commodities on time within 24 hours from pay-out.</li> <li>9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.</li> <li>10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days).</li> <li>11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.</li> <li>12. Retain documents for trading activity as it helps in resolving disputes, if they arise.</li> </ol>	<ol style="list-style-type: none"> <li>1. Do not deal with unregistered stock broker.</li> <li>2. Do not forget to strike off blanks in your account opening and KYC.</li> <li>3. Do not submit an incomplete account opening and KYC form.</li> <li>4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system.</li> <li>5. Do not transfer funds, for the purposes of trading to any one other than a stock broker. No payment should be made in name of employee of stockbroker.</li> <li>6. Do not ignore any emails /SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.</li> <li>7. Do not opt for digital contracts, if not familiar with computers.</li> <li>8. Do not share trading password.</li> <li>9. Do not fall prey to fixed /guaranteed returns schemes.</li> <li>10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks /securities promising huge profits.</li> <li>11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.</li> </ol>



## Grievance Redressal Mechanism

1.	Investor complaint/Grievances	<p>Investor can lodge complaint/grievance against stock broker in the following ways:</p> <p>Mode of filing the complaint with stock broker</p> <p>Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance</p> <p>Mode of filing the complaint with stock exchanges.</p> <p>I. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (<a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a>)</p> <p>Two level review for complaint/grievance against stock broker:</p> <ul style="list-style-type: none"> <li>• First review done by Designated body/Exchange</li> <li>• Second review done by SEBI</li> </ul> <p>II. Emails to designated email IDs of Exchange</p>
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	<p>If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration.</p>
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ol style="list-style-type: none"> <li>1. Investor to approach Market Participant for redressal of complaint</li> <li>2. If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options: <ol style="list-style-type: none"> <li>i. May escalate the complaint on SEBI SCORES portal.</li> <li>ii. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> </ol> </li> <li>3. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days.</li> <li>4. If the matter could not be amicably resolved, then the matter shall be referred for conciliation.</li> <li>5. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.</li> <li>6. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> <li>7. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.</li> </ol>

## Timelines for complaint resolution process at Stock Exchanges against stock brokers

Sr. No.	Type of Activity	Timelines for activity
1	Receipt of Complaint	Day of complaint (C Day).
2	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3	Registration of the complaint and forwarding to the stock broker.	C+8 Working Days i.e. T day.
4	Amicable Resolution.	T+15 Working Days.
5	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T+16 Working Days.
6	Complete resolution process post GRC.	T + 30 Working Days
7	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8	Implementation of GRC Order.	On receipt of GRC Order, if the order is infavour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10	If intention from stock broker is received and the GRC order amount is upto Rs.20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF).The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

## Handling of claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)

### Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website. Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of claims against Defaulter stock broker.

- Provision to check online status of claim.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of Default by Brokers
- Claim processing policy against Defaulter/Expelled members
- List of Defaulter/Expelled members and public notice issued



## Investor Charter - Depository Participants

Annexure-A

### Investor Charter Depository Participant

#### VISION

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

#### MISSION

- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

#### Details of business transacted by the Depository and Depository Participant(DP)

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [<https://nsdl.co.in/dpsch.php>]

#### Description of services provided by the Depository through Depository Participants (DP) to investors

##### 1. Basic Services

Sr. No.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1	Dematerialization of securities	7 Days
2	Rematerialization of securities	7 Days
3	Mutual Fund Conversion / Destatementization	5 Days
4	Re-conversion / Restatementisation of Mutual fund units	7 Days
5	Transmission of securities	7 Days
6	Registering pledge request	15 Days
7	Closure of demat account	30 Days
8	Settlement Instruction	Depositories to accept physical DIS for pay-in of securities upto 4 p.m and DIS in electronic form upto 6 p.m on T+1 day

**2. Depositories provide special services like pledge, hypothecation, internet based services etc. in addition to their core services and these include**

Sr. No.	Type of Activity /Service	Brief about the Activity/ Service
1	Value Added Services	Depositories also provide value added services such as <ul style="list-style-type: none"> <li>a) Basic Services Demat Account(BSDA)<sup>1</sup>[link to be provided by the Participants]</li> <li>b) Transposition cum dematerialization<sup>2</sup>[link to be provided by the Participants]</li> <li>c) Linkages with Clearing System<sup>3</sup>[link to be provided by the Participants]</li> <li>d) Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOsetc.)</li> </ul>
2	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions).
3	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs: <ul style="list-style-type: none"> <li>a. E-account opening<sup>4</sup> [link to be provided by the Participants]</li> <li>b. Online instructions for execution<sup>5</sup>[link to be provided by the Participants]</li> <li>c. e-DIS / Demat Gateway<sup>6</sup>[link to be provided by the Participants]</li> <li>d. e-CAS facility<sup>7</sup> [link to be provided by the Participants]</li> <li>e. Miscellaneous services<sup>8</sup>[link to be provided by the Participants]</li> </ul>

### Details of Grievance Redressal Mechanism

(1) The Process of investor grievance redressal

1	Investor Complaint / Grievances	Investor can lodge complaint/ grievance against the Depository/DP in the following ways: <ul style="list-style-type: none"> <li>a. Electronic mode - <ul style="list-style-type: none"> <li>(i) SCORES (a web based centralized grievance redressal system of SEBI)[<a href="https://www.scores.gov.in/scores/Welcome.html">https://www.scores.gov.in/scores/Welcome.html</a>]</li> <li>(ii) for the filing of complaint [<a href="https://www.epass.nsdl.com/complaints/websitecomplaints.aspx">https://www.epass.nsdl.com/complaints/websitecomplaints.aspx</a>]</li> <li>(iii) Emails to designated email IDs of Depository[<a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a>]</li> </ul> </li> </ul> The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.
2	Investor Grievance Redressal Committee of Depository	If no amicable resolution is arrived, then the Investor has the option to refer the complaint/ grievance to the Grievance Redressal Committee (GRC) of the Depository. Upon receipt of reference, the GRC will endeavour to resolve the complaint/ grievance by hearing the parties, and examining the necessary information and documents.
3	Arbitration Proceedings	The Investor may also avail the arbitration mechanism set out in the Byelaws and Business Rules/Operating Instructions of the Depository in relation to any



		grievance, or dispute relating to depository services. The arbitration reference shall be concluded by way of issue of an arbitral award within 4 months from the date of appointment of arbitrator(s).
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(2) For the Multi-level complaint resolution mechanism available at the Depositories<sup>9</sup> [link to be provided by the Participants]

### **Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant**

<b>Sr. No.</b>	<b>Type of special circumstances</b>	<b>Timelines for the Activity/ Service</b>
1	<p>Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.</p> <p>Participant surrenders the participation by its own wish.</p>	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

**Dos and for Investors<sup>10</sup> [link to be provided by the Participants]**

**Rights of investors<sup>11</sup> [link to be provided by the Participants]**

**Responsibilities of Investors<sup>12</sup> [link to be provided by the Participants]**

## INFORMATION CONTAINED IN LINKS TO THE INVESTOR CHARTER

This document contains the contents in main Charter mapped with the same superscript.

Para 4 (2) of Investor Charter

### Point 1: Value Added Services

#### a. Basic Services Demat Account (BSDA)<sup>1</sup>

The facility of BSDA with limited services for eligible individuals was introduced with the objective of achieving wider financial inclusion and to encourage holding of demat accounts. No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding is upto Rs. 50,000. For value of holdings between Rs 50,001- 2,00,000, AMC not exceeding Rs 100 is chargeable. In case of debt securities, there are no AMC charges for holding value upto Rs 1,00,000 and a maximum of Rs 100 as AMC is chargeable for value of holdings between Rs 1,00,001 and Rs 2,00,000.

#### b. Transposition cum dematerialization<sup>2</sup>

In case of transposition-cumdematerialisation, client can get securities dematerialised in the same account if the names appearing on the certificates match with the names in which the account has been opened but are in a different order. The same may be done by submitting the security certificates along with the Transposition Form and Demat Request Form.

#### c. Linkages with Clearing System<sup>3</sup>

for actual delivery of securities to the clearing system from the selling brokers and delivery of securities from the clearing system to the buying broker.

### Point 3: Digitization of services provided by the depositories

#### a. E-account opening<sup>4</sup>

Account opening through digital mode, popularly known - account can visit DP website, fill in the required information, submit the required documents, conduct video IPV and demat account gets opened without visiting DPs office.

#### b. Online instructions for execution<sup>5</sup>

internet-enabled services like Speed-e (NSDL) & Easiest (CDSL) empower a demat account holder in managing - an efficient and convenient manner and submit instructions online without the need to use paper. These facilities allows Beneficial Owner (BO) to submit transfer instructions and pledge instructions including margin pledge from their demat account. The instruction facilities are also available on mobile applications through android, windows and IOS platforms.

#### c. e-DIS / Demat Gateway:<sup>6</sup>

Investors can give instructions for transfer of securities through e-DIS apart from physical DIS. Here, for on-market transfer of securities, investors need to provide settlement number along with the ISIN and quantity of securities being authorized for transfer. Client shall be required to authorize each e-DIS valid for a single settlement number / settlement date, by way of OTP and PIN/password, both generated at Depositories end. Necessary risk containment measures are being adopted by Depositories in this regard.

**d. e-CAS facility<sup>7</sup>**

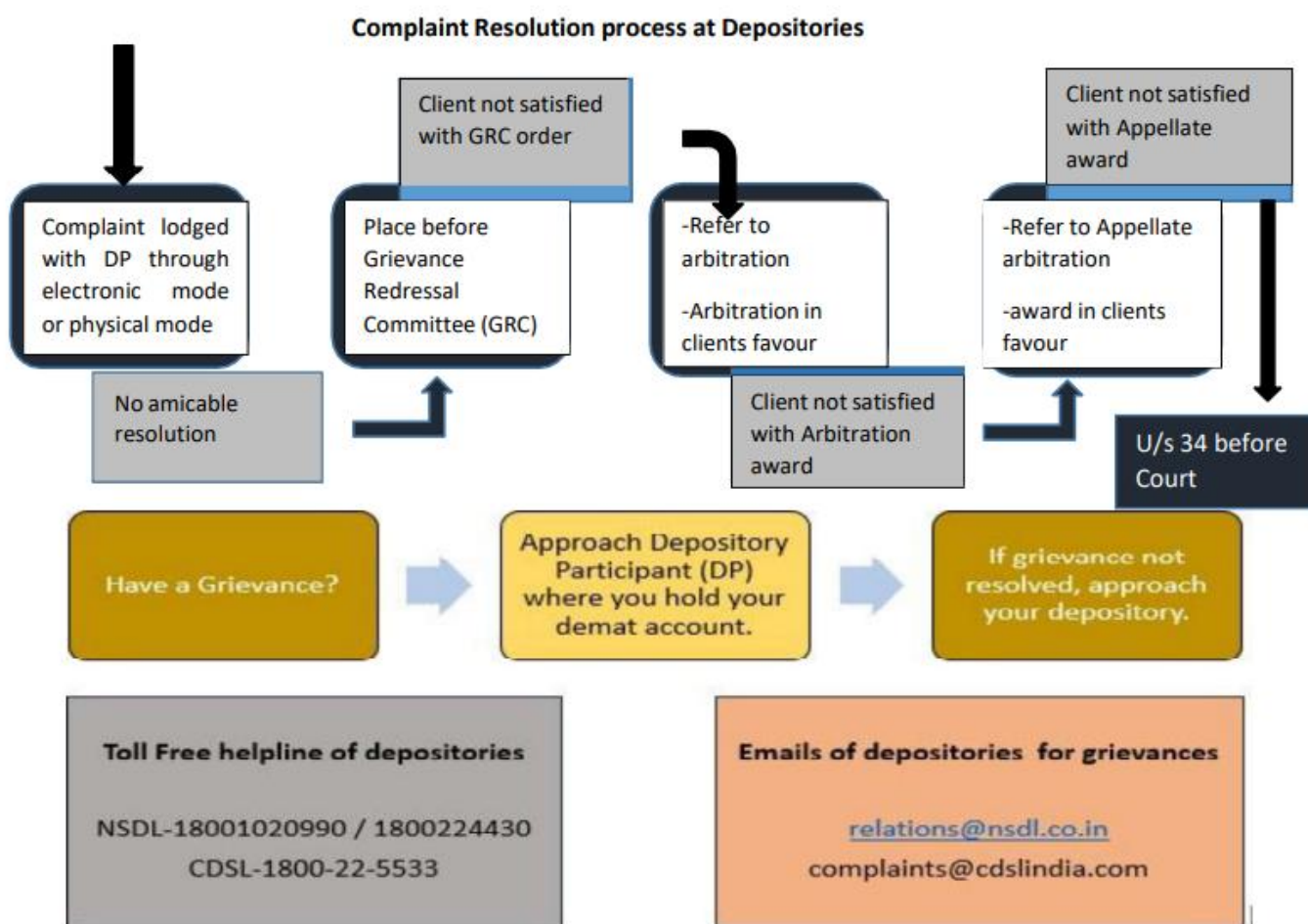
Consolidated Account Statements are available online and could also be accessed through mobile app to facilitate the investors to view their holdings in demat form.

**e. Miscellaneous services<sup>8</sup>**

Transaction alerts through SMS, e-locker facilities, chatbots for instantaneously responding to investor queries etc. have also been developed.

**Para 5(2) of Investor Charter**

Complaint Resolution process at Depositories<sup>9</sup>



Investor Helpline Details of Depositories

## Para 7 of Investor Charter

Dos and for Investor<sup>10</sup>

Sr. No.	Guidance
1	Always deal with a SEBI registered Depository Participant for opening a demat account.
2	Read all the documents carefully before signing them.
3	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
4	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
5	<p>Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips.</p> <p>Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders.</p> <p>Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialled or signed by all the account holder(s).</p> <p>Do not leave your instruction slip book with anyone else.</p> <p>Do not sign blank DIS as it is equivalent to a bearer cheque</p>
6	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
7	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository
8	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
9	Do not share password of your online trading and demat account with anyone.
10	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
11	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
12	Demat is mandatory for any transfer of securities of Listed public limited companies with few exceptions
13	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at <a href="https://scores.gov.in/scores/Welcome.html">https://scores.gov.in/scores/Welcome.html</a>
14	Keep a record of documents signed, DIS issued and account statements received.
15	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
16	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
17	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
18	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
19	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
20	Beware of assured/fixed returns.



## Para 8 of Investor Charter

### Rights of investors<sup>11</sup>

- Receive a copy of KYC, copy of account opening documents.
- No minimum balance is required to be maintained in a demat account.
- No charges are payable for opening of demat accounts.
- If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
- You can open more than one demat account in the same name with single DP/multiple DPs.
- Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- Pledge and /or any other interest or encumbrance can be created on demat holdings.
- Right to give standing instructions with regard to the crediting of securities in demat account.
- Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
- In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
- Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet - platform.
- Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.

## Para 9 of Investor Charter

### Responsibilities of Investors<sup>12</sup>

- Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- Always mention the details like ISIN, number of securities accurately.
- Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- Regularly verify balances and demat statement and reconcile with trades / transactions.
- Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.



# OUR SERVICES



Options



Commodity



Apply for IPOs



PMS & AIF



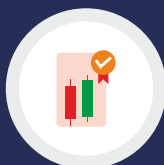
Fixed Income



Insurance



Equity



Futures



ETFs



Mutual Funds



Bonds



Pre-IPO Shares

(For Head Office use only)

1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

**Regd. Office :**

3rd Floor, Silver Oak, Opp. Panchal Hall,  
Town Hall Road, ANAND - 388 001.

**Phone :** (O) +91 2692 246500, **Mobile :** +91 9979974108,  
+91 99241 32726, +91 99099 42726

**Email :** info@dptradeaking.com

In case of any grievance please write to  
helpdesk@dptradeaking.com OR grievance@dptradeaking.com

**SEBI Regn. No.:**

CIN : U67190GJ2016PTC085892

SEBI Registration No : INZ000097030

NSE Member ID - 90100 | BSE Member ID - 6650

AMFI Reg. No.: ARN - 109938 | DP ID - IN304182

Anand | Nadiad | Umreth | V.V.Nagar | Borsad | Petlad | Vadodara | Anand (Sardar Gunj) | Mumbai | Khambhat

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Mutual Funds Investments are subject to market risk. Please read the offer and scheme related documents carefully before investing.

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