



PESBTM
Your trust is our capital

Pune e Stock Broking Limited

Regd. Office

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Tel: +91 20 41000600 Fax: +91 20 24498100 www.pesb.co.in

Member : BSE, NSE, MCX : SEBI Regn. No.: INZ000161438

Depository Participant : CDSL

DP ID : 12058100

SEBI Reg. No. : IN-DP-479-2020

Client Registration Form

- Individual HUF Non-Individual
 NRI Foreign National

Form No.:

Client Name : _____

Client Code No. :

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

Client ID :

1	2	0	5	8	1	0	0												
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

Ref. : _____

In Person Verification by

Name & Sign.
Date

Received By

Checked By

Authorised By

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

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

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

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

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

ADDITIONAL INFORMATION

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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals :

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals :

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

In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :

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

*** Original Cancelled Cheque Mandatory**

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Pune e Stock Broking Limited

Regd. Office / Correspondence Office

1198 Shukrawar Peth, Subhashnagar Lane No. 3, Pune - 411 002.
Tel.: +91 20 41000600 info@pesb.co.in, www.pesb.co.in

Member : BSE, NSE, MCX : SEBI Regn. No.: INZ000161438

- **Compliance officer name : Archana Gorhe**
- Phone no. : +9120 41000600,**
- email id : archana@pesb.co.in**

For any grievance/dispute please contact stock broker **Pune e Stock Broking Limited** at the above address or email id- info@pesb.co.in and Phone no. +9120 - 41000600 In case not satisfied with the response, please contact the concerned exchange(s) details is as follows :-

- | | | |
|---|---------------|------------------|
| 1) BSE : is@bseindia.com | & Phone No. : | +9122 - 22728097 |
| 2) NSE : ignse@nse.co.in | & Phone No. : | +9122 - 26598190 |
| 3) MCX : grievance@mcxindia.com | & Phone No. : | +9122 - 67318888 |

**Know Your Client (KYC)
Application Form (For Individuals Only)**



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

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

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth d d / m m / y y y y

3. Nationality Indian Other (Please specify)

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village										Pin Code	
State										Country	

2. Contact Details

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

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

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

* Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

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

City / Town / Village										Pin Code	
State										Country	

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

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

* Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

6. Any other information:

DECLARATION

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

Place:

Date:

SIGNATURE OF APPLICANT

X Client Sign:

FOR OFFICE USE ONLY

IPV Done on d d / m m / y y y y

AMC/Intermediary name OR code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

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

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

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

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

Please Submit the KYC Documents on A4 Size Paper Only.

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




Important Instructions:

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

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)
 Account Type* Normal Simplified (for low risk customers) Small

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

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

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

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)
 ISO 3166 Country Code of Jurisdiction of Residence*
 Tax Identification Number or equivalent (If issued by jurisdiction)*
 Place / City of Birth* ISO 3166 Country Code of Birth*

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

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

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

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)
 (Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

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

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS* (Please see instruction E at the end)

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

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

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

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

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

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

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

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

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

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction(H) at the end)

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

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

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

Date : -- Place :

X [Signature / Thumb Impression]
 Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date <input type="text"/>	Name <input type="text"/>
Emp. Name <input type="text"/>	Code <input type="text"/>
Emp. Code <input type="text"/>	<input type="text"/>
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
<input type="text"/>	[Institution Stamp]
[Employee Signature]	

D. PAST ACTIONS

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

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name:.....

Registered office address :

SEBI Registration number : BSE : NSE :

Phone : Fax : Website :

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

Name of stock broker **Name of Sub-Broker, if any** :

Client Code : Exchange :

Details of disputes/dues pending from/to such stock broker/sub-broker :

F. ADDITIONAL DETAILS

■ Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Specify your Email id, if applicable :

■ Whether you wish to avail of the facility of internet trading/wireless technology (please specify) :

■ Numbers of years of Investment/Trading Experience :

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

■ Any other information :

G. INTRODUCER DETAILS (optional)

Name of the Introducer
(Surname) (Name) (Middle Name)

Status of the Introducer : (Sub-broker/Remisier/Authorized Person/Existing Client/Others, Please specify).....

Address of the Introducer :

City : Pincode : State : Country :

Phone no. : **Signature of the Introducer** :

H. NOMINATION DETAILS (for individuals only)

I/We wish to nominate

I/We do not wish to nominate

Name of the Nominee : Relationship with the Nominee :

Address of the Nominee :

City : Pincode : State : Country :

Phone no. : PAN of Nominee :

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 Date of Birth of Nominee :

If Nominee is a minor, details of guardian :

Name of guardian :

Address of Guardian :

City : Pincode : State : Country :

Phone no. : **Signature of the Guardian** :

WITNESSES (Only applicable in case the account holder has made nomination)

Name

Name

Address

Address

Signature

Signature

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I / We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we aware that I/we be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place _____

Date _____

Client Signature : /  x _____
Signature of All Authorised Signatories
(In case of Non-Individuals)

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

	Documents verified with Originals	Client Interviewed by	In person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

Risk Profile of Client

Low Risk

Medium Risk

High Risk

For **Pune e Stock Broking Limited**

Signature of Authorised Signatory

Date

Seal/Stamp of the stock broker

SCHEDULE OF CHARGES FOR TRADING ACCOUNT

Client Code : _____ Brokerage Scheme _____

	Cash Segment		F & O Future		F & O Option		Currency Future		Currency Option		SLB Segment		MCX Future		MCX Option	
	Max. (%)	Min. (Paise)	Max. (%)	Min. (Paise)	% on Premium	Min. per Lot (Rs.)	Max. (%)	Min. (Paise)	% on Premium	Max. (%)	Min. (Paise)	Max. (%)	Min. (Paise)	% on Premium	Min. per Lot (Rs)	
Trading : First leg																
Square off : Second leg																
Delivery Brokerage																

Other charges :

- Transaction Charges, SEBI fees, STT, Stampduty, Goods and Service Tax etc. would be charged as per regulatory norms.
- Any other penalty as Prescribed by SEBI / Exchanges. Levied by regulator on account of client's default, would be charged at actual.
- PeSB reserves the rights to levy additional charges including but not limited to the following :

Particulars	Amount
Auction Charges (In CM Segment)	1.5% of shortage amount
Bounced Cheque/Stop Payment of cheque	Rs. 250/- per instance/instrument

(These charges are subject to revision at the sole discretion of PeSB and shall be informed by ordinary post/email/quarterly account statements. Service Tax would be levied as per prevailing rates on the above mentioned charges)

I have read, understood, accepted and agree to pay the brokerage & charges.

For

For Pune e Stock Broking Limited

 x

(Client Signature)

Authorised Signatory

Name :

Name :

Date :

Disclosure Regarding Pro Trading

To,

Name of the Client _____ Client Code _____

Dear Sir,

As per the exchange notification, we hereby inform you that we, in addition to client based business as broker, are undertaking Proprietary Trading / arbitrage as well as investment business in our own account.

Thanks & best regards.
Pune e Stock Broking Limited

Authorised Signatory

I / We acknowledge receipt of your information that you do client based trading and pro account trading.

 x _____

(Client Signature)

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSON AND CLIENTS
as prescribed by SEBI and Stock / Derivatives / Commodity Exchanges

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, Authorised Person 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 Authorised Person 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 Authorised Person 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.
11. A. Protection from unfair terms in financial contracts**
 - a. An unfair term of a non-negotiated contract will be void.
 - b. A term is unfair if it -
 - i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
 - ii. is not reasonably necessary to protect the legitimate interests of the Member.
 - c. The factors to be taken into account while determining whether a term is unfair, include-
 - i. the nature of the financial product or financial service dealt with under the financial contract

- ii. the extent of transparency of the term;
- **Contracts offered by commodity exchanges
- iii. the extent to which the term allows a Client to compare it with other financial contracts for similar financial products or financial services; and
- iv. the financial contract as a whole and the terms of any other contract on which it is dependent.

d. A term is transparent if it -

- i. is expressed in reasonably plain language that is likely to be understood by the Client;
- ii. is legible and presented clearly ; and
- iii. is readily available to the Client affected by the term.

e. If a term of a financial contract is determined to be unfair under point 11. A.c, the parties will continue to be bound by the remaining terms of the financial contract to the extent that the financial contract is capable of enforcement without the unfair term.

11. B.

a. "Non-negotiated contract" means a contract whose terms, other than the terms contained in point 11 C. (given below) are not negotiated between the parties to the financial contract and includes -

- i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and
- ii. a standard form contract.

b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client , except for the terms contained in point 11 C.

c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a non-negotiated contract if so indicated by -

- i. an overall and substantial assessment of the financial contract; and
- ii. the substantial circumstances surrounding the financial contract

d. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member.

11. C.

a. The above does not apply to a term of a financial contract if it -

- i. defines the subject matter of the financial contract;
- ii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or
- iii. is required, or expressly permitted, under any law or regulations.

b. The exemption under point 11 C. does not apply to a term that deals with the payment of an amount which is contingent on the occurrence or non-occurrence of any particular event.

12. The Member and Authorized Person 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 Member may so disclose information about his client to any person or authority with the express permission of the client.

13. A. Protection of personal information and confidentiality

a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes -

- i. name and contact information;
 - ii. biometric information, in case of individuals
 - iii. information relating to transactions in, or holdings of, financial products
 - iv. information relating to the use of financial services; or
 - v. such other information as may be specified.
13. B.
- a. A member must -
 - i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;
 - ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted under point 13 B.b.;
 - iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;
 - iv. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the regulator may specify; and
 - v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.
 - b. A member may disclose personal information relating to a Client to a third party only if -
 - i. it has obtained prior written informed consent of the Client for the disclosure, after giving the Client an effective opportunity to refuse consent;
 - ii. the Client has directed the disclosure to be made;
 - iii. the Regulator has approved or ordered the disclosure, and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
 - iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
 - v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the member -
 - 1. informs the Client in advance that the personal information may be shared with a third party; and
 - 2. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this part; or
 - vi. the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this part -
 - C. "Third party" means any person other than the concerned member, including a person belonging to the same group as the member.
14. A. Requirement of fair disclosure both initially and on continuing basis
- a. Member must ensure fair disclosure, of information that is likely to be required by a Client to make an informed transaction decision.
 - b. In order to constitute fair disclosure, the information must be provided -
 - i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and

- iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services.
 - c. The types of information that must be disclosed to a Client in relation to a financial product or financial service, which may include information regarding -
 - i. main characteristics of the financial product or financial service, including its feature, benefits and risks to the client;
 - ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
 - iii. existence, exclusion or effect of any term in the financial product or financial contract;
 - iv. nature, attributes and rights of the member, including its identity, regulatory status and affiliations;
 - v. contact details of the member and the methods of communication to be used between the member and the client;
 - vi. right of the client to rescind a financial contract within a specified period; or
 - vii. rights of the client under any law or regulations.
14. B.
- a. Member must provide a Client that is availing a financial product or financial service provided by it, with the following continuing disclosures -
 - i. any material change to the information that was required to be disclosed under point 14 A. at the time when the Client initially availed the financial product or financial service;
 - ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and
 - iii. any other information that may be specified.
 - b. A continuing disclosure must be made -
 - i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.

MARGINS

15. 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.
16. 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

17. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
18. 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.

19. 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.
20. 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).
21. 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

22. 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

23. 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.
24. 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.
25. 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

26. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
27. 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.
28. 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.

29. 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.
30. 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

31. 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.
32. 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.
33. 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

34. The Member and client shall reconcile and settle their accounts from time to time as per the Rules, Business Rules, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
35. The Member shall issue a contract note to his clients 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 Member shall send contract notes to the investors within 24 hours of the execution of the trades in hard copy and/or in electronic form using digital signature.
36. The Member shall make pay out of funds or delivery of commodities as per the Exchange Rules, Bye-Laws, Business Rules and Circulars, as the case may be, to the Client on 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.
37. The Member shall send a complete 'Statement of Accounts' for both funds and commodities 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.

38. The Member shall send margin statements to the clients on Daily basis 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, warehouse receipts, securities etc.
39. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member 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.
40. In case, where a member surrenders his/ her/ its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that client lodge a claim with the Exchange within the stipulated period and with the supporting documents.
41. A. Protection from unfair conduct which includes misleading conduct & abusive conduct.
 - a. Unfair conduct in relation to financial products or financial services is prohibited.
 - b. "Unfair conduct" means an act or omission by a member or its financial representative that significantly impairs, or is likely to significantly impair, the ability of a Client to make an informed transactional decision and includes -
 - i. misleading conduct under point 41.B
 - ii. abusive conduct under point 41.C
 - iii. such other conduct as may be specified.
41. B.
 - a. Conduct of a member or its financial representative in relation to a determinative factor is misleading if it is likely to cause the Client to take transactional decision that the Client would not have taken otherwise, and the conduct involves -
 - i. providing the Client with inaccurate information or information that the member or financial representative does not believe to be true; or
 - ii. providing accurate information to the Client in a manner that is deceptive.
 - b. In determining whether a conduct is misleading under point 41.B.a, the following factors must be considered to be "determinative factors" -
 - i. the main characteristics of a financial product or financial service, including its features, benefits and risks to the Client;
 - ii. the Client's need for a particular financial product or financial service or its suitability for the Client.
 - iii. the consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
 - iv. the existence, exclusion or effect of any term in a financial contract, which is material term in the context of that financial contract;
 - v. the nature, attributes and rights of the member, including its identity, regulatory status and affiliations; and
 - vi. the rights of the Client under any law or regulations.
41. C.
 - a. Aconduct of a member or its financial representative in relation to a financial product or financial service is abusive if it -
 - i. involves the use of coercion or undue influence; and
 - ii. causes or is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise.
 - b. In determining whether a conduct uses coercion or under influence, the following must be considered -

- i. the timing, location, nature or persistence of the conduct;
- ii. the use of threatening or abusive language or behavior;
- iii. the exploitation of any particular misfortune or circumstance of the Client, of which the member is aware, to influence the Client's decision with regard to a financial product or financial service.
- iv. any non-contractual barriers imposed by the member where the Client wishes to exercise right under a financial contract, including -
- v. the right to terminate the financial contract;
- vi. the right to switch to another financial product or another member and
- vii. a threat to take any action, depending on the circumstances in which the threat is made.

ELECTRONIC CONTRACT NOTES (ECN)

42. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id (created by the client) to the Member (Kindly refer Appendix A of Annexure 3). Member shall ensure that all the rules/ Business Rule/Bye-Laws/ circulars issued from time to time in this regard are complied with. The client shall communicate to the Member 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.
43. The Member shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
44. The client shall note that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the e-mail ID of the client.
45. The Member shall retain ECN and acknowledgment of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/circulars/guidelines issued by SEBI/Commodity 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 Member for the specified period under the extant rules/circulars/guidelines issued by SEBI/Commodity 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 Member 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 rules/circulars/guidelines issued by SEBI/Commodity exchanges.
46. The Member 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 Member shall send a physical contract note to the client within the stipulated time under the extant Regulations/ Rules, Bye-Laws, Business Rules and Circulars of SEBI/commodity exchanges and maintain the proof of dispatch and delivery of such physical contract notes.
47. In addition to the e-mail communication of the ECNs to the client, the Member 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.
48. The Electronic Contract Note (ECN) declaration form obtained from the Client who opts to receive the contract note in electronic form. This declaration will remain valid till it is revoked by the client.

LAW AND JURISDICTION

49. In addition to the specific rights set out in this document, the Member, Authorised Person and the client shall be entitled to exercise any other rights which the Member or the client may have under the Rules, Bye-laws and Business Rules of the Exchanges in which the client chooses to trade and circulars/notices issued there under or Rules of SEBI.
50. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by SEBI and Circulars, Rules, Business Rules and Bye laws of the relevant commodity exchanges, where the trade is executed, that may be in force from time to time.
51. The Member 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, if either party is not satisfied with the arbitration award.
52. 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/Business Rules and circulars/notices issued thereunder of the Exchanges/ SEBI.
53. All additional voluntary/Non-mandatory clauses/document added by the Member should not be in contravention with Rules/ Business Rules/ 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.
54. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of SEBI or Bye-laws, Rules and Business Rules of the relevant commodity 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.
55. Members are required to send account statement to their clients every day.

Mode of KYC Account

Opening Kit Dispatch

Physical Electronic

Client Sign

(Tick Whichever Applicable)

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

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

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

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

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

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

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

2.2 Currency specific risks:

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

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

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

2.3 Risk of Option holders:

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

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

4.3 Deposited cash and property: You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, By-laws and Business Rules of the Exchange.

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

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

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

obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

Policies and Procedures

The underlying document outlines various policies and procedures **Pune e Stock Broking Limited** (PeSB) has framed with respect to its dealing with clients for capital market, F&O and Currency Derivative, MCX Segment transactions to ensure transparency and facilitate understanding on various aspects related to service delivery. Kindly note that the below stated policies and procedures are subject to change from time to time and the clients would be intimated about the same depending upon our internal risk management framework, market and external environment; and clients can refer the PeSB's website for the updated documents.

1. Refusal of orders for penny stocks etc:

Generally, PeSB alerts clients to desist from trading in any penny stocks in view of the associated risk element while dealing in such stocks. Further, the client is also required to adhere to Exchange / Members' guidelines and due diligence while trading in such stocks. Also SEBI / Exchange from time to time issues directives necessitating additional due diligence for dealing in such stock(s).

We at our sole discretion, may impose certain restrictions and/ or conditions (on case to case basis), subject to rules, regulations, byelaws, circulars, directives and guidelines of SEBI and Exchanges as well as considering the prevalent market and other circumstances and risk policies at a related point in time. These restrictions/ conditions include but are not limited to the following

- a) restrict wholly or partly for trading in certain security(ies) or category of security(ies)/ contracts viz.
 - i. illiquid stocks / stocks having low liquidity,
 - ii. illiquid options / far month options / long dated options,
 - iii. writing of options,
 - iv. securities listed in Z, T, TS, S, B group or 6 lakh series available for institutional category on BSE and / or securities listed in BE, IL, BT or EQ series on NSE,
 - v. any other securities/ contracts which as per the perception of PeSB are volatile or subject to market manipulation or has concentration risk at client level or at the company level,
- b) accept or partially accept an order for buy and/or sell. Such acceptance may require

execution in a controlled environment (for e.g. from centralized desk instead of from designated dealing area or online platform),

- c) cancel orders in above securities / contracts received from clients before execution or after partial execution without assigning any reasons thereof,
- d) require the client to provide appropriate declarations before/after accepting and execution of such orders. Or as and when any enquiry from regulating authority

PeSB shall –

- a) not be responsible for non-execution / delay in execution of such orders and consequential opportunity loss or financial loss to the client,
- b) have the discretion to place such restrictions, not with standing the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities / contracts through PeSB itself,
- c) have the right to revise the list of such securities / contracts on a periodic basis.
- d) have the right to reverse such trades at the client's cost. Client can obtain the information about the updated list of securities from the Relationship Manager / Dealing Branch office / Sub Broker.
- e) not to be responsible for any loss or delay or non-execution & orders due to any technical snags, failures, break downs etc. of computer, network or parts thereof, connectivity, internet connections, telephone lines failure of any hardware or software.
- f) not be responsible for consequences of any advice/recommendation which may be rendered by any official staff at main office or branch office or Sub-Brokers/Authorised person

2. Setting up Client's Exposure limit : Settlement / Margin obligation:

The Exchange bye-laws requires a member broker to adhere to various trading and settlement obligations and conditions which include but are not limited to

- a) upfront margin maintenance requirements with the Exchange / Clearing Corporation prior to taking an exposure in the market,

- b) fund and collaterals / securities deposit, in prescribed ratio, for margin maintenance,
- c) certain margins to be paid for in fund only, for instance mark-to-market,
- d) trading in the scrip which is banned in F & O
- e) settlement obligations in respect of funds and/or securities to be honoured as per the settlement calendar prescribed by the exchange from time to time.

In order to enable PeSB to meet the obligation on behalf of the client, PeSB seeks client's cooperation to maintain adequate margin, make timely settlement of obligations, top-up margin by scheduled date, etc.

Exposure setting : Margin based limit / exposures will be set for clients for transacting in Cash and F&O segment. While computing the available margin, clear credit lying in client's settlement and margin ledger, securities held in client's beneficiary account with Member and securities held in client's demat account for which limited power of attorney is available with PeSB etc. may be considered.

Margin can be paid in form of cash and approved collateral. Collateral will be valued on daily basis at latest / previous day's closing price and Hair-cuts at least at the Rates prescribed by Exchanges shall be applicable. List of Exchange approved collaterals / securities along with applicable haircut, is subject to revision from time to time based on Exchange approved list, market volatility, quality of collateral and internal guidelines; and same can be obtained from the Relationship Manager / Dealing Branch Office/ Sub broker.

PeSB shall have the discretion to allow differential limits / exposures varying from client to client, depending upon client's trade history/experience, if available, his financial capacity and/or credit worthiness and referral of each client.

3. Brokerage Policy

PeSB may charge a brokerage for all trades facilitated on BSE, NSE or any other recognised exchange of which PeSB is a Member. Brokerage rate may vary from client to client, as per the terms agreed with the client at the time of registration or

by way of any subsequent written agreement between the client and PeSB. The rate of Brokerage shall not exceed the maximum permissible brokerage stipulated by Exchange/ SEBI.

The slab rates of brokerage fixed by PeSB may be function of the quality and cost of services provided to the client and the volume and revenue expected from a relationship. It shall be reviewed by PeSB from time to time and may be changed in such manner as PeSB may deem fit provided that the same would not contradict the regulatory provisions. The brokerage shall however be exclusive of the following :

- Goods & Service Tax
- SEBI/ Exchange/ Clearing member charges
- Stamp duty
- Statutory charges payable to Exchange / SEBI / Govt. Authorities etc.,
- Account Opening charges
- Rs. 250/- for cheque bounce per instance.

4. Imposition of Penalty / delayed payment charges

Delayed payment charges / margin shortage charges : As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the margin by scheduled date. In case client fails to settle the dues in time, PeSB shall reserve the right to

- a) levy delayed payment charges, not exceeding 18% per annum, on account of delays/failure by the client in meeting the obligations /mark-to-market obligation on the scheduled date till the date of payment in Cash and/or F&O segment,
- b) levy a charge for disproportionate cash versus collaterals ratio prescribed by the Exchanges for deposit of margins in F&O,
- c) not consider any credit balance in other family member or group account of the client while computing delayed payment charges on the debit balance in the running account of a client.

The above levy is only a penal measure in case of a client default in meeting obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation

of service on a permanent basis citing levy of delayed payment charges.

Penalties levied by Exchanges :

Exchanges / Clearing Corporation/ SEBI levy penalties on the member broker for irregularities observed by them during course of its dealing with Members. PeSB shall recover such imposed penalties / levies, by the Exchange / regulators, from the client which arises on account of dealing by such client. The illustrative list of reasons to levy penalty include but are not limited to –

- a) auction resulting from short deliveries,
- b) non adherence to client-wise exposure limits in Cash and F&O segment
- c) client-wise shortfall in F&O margin
- d) trading in the script which is banned in F & O
- e) Any other reason (except for penalties levied during SEBI/ Exchange Inspection) which may be specified by the Exchange / Clearing Corporation /SEBI from time to time .
- f) In case of dishonor of cheque issued by the client.

Interest Free Deposits :

PeSB provides exposure against the upfront margin received in the form of cash / collateral from the client and the client also has the prerogative to demand withdrawal of cash or collaterals at his discretion, subject to surplus margin in place. PeSB shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with PeSB except for the corporate benefit received on such collateral securities, if any.

5. Liquidation Policy :

(The right to sell Client's securities or close Clients' positions, without giving notice to the Client on account of non-payment of dues and/or margins by Client)

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the required margin by scheduled date. The client agrees and confirms that in case of any delay (beyond permissible time limit as per SEBI or Exchange's rules, regulations, byelaws, circulars and other applicable laws/ provisions) in making the

payment, PeSB shall have the right to close positions/ contracts and sell client's security(ies)/ both unpaid securities as well as collaterals deposited towards margins or securities previously purchased by the client or close out client's open positions / contracts or offset credit balance in other segment / exchange against client's obligation / debit balances / liabilities, without giving any notice to the client, as per prevalent risk policy from time to time, in circumstances including but not limited to the following

- a) where intra-day position, if any, not liquidated before prescribed time or placing of fresh intra-day order after a cut-off time fixed by PeSB,
- b) where client is not having adequate margins, as per conditions specified in Exposure Limit section or on account of removal of a security from approved list of collateral and client s failure to top-up further margins,
- c) where client delays /fails to meet the pay in obligation /mark to market (MTM)dues /clearance of debit balances /dues by scheduled date or realization proceeds of the cheque(s) deposited by the client to meet obligation is not received
- d) cheque bouncing / not honoring sale obligation by delivering shares in time or due to any reason delays or fails in clearing outstanding dues to PeSB,
- e) volume in excess of permissible internal limit cap in illiquid / penny stocks / long dated options / far month options or excessive speculative trading,
- f) scrip is moved in BAN list (due to breach of exchange limit defined for market wide position limit / trading member wide position limit / client wide limit in F&O segment, etc.),
- g) irregularities in dealing and other surveillance / money laundering (AML) related observations,
- h) client categorized as ineligible due to non-traceable, disputes, possible default by client, barred by regulatory authority and any other circumstances leading to raising non-confidence in client,
- i) disputed delivery/ trading position,
- j) any direction from SEBI/ Exchange or such other regulatory/ statutory authorities,

k) under such other Lawful circumstances as PeSB might think just and proper on case to case basis.

Such liquidation may be in full or partial to the extent of shortfall / debit and securities / position / contracts selection would be at the discretion of PeSB. While selling the securities/ closing the clients positions / contracts, PeSB may take into account the positions closed by the client or collections received from the client till a cut-off time. Securities previously purchased would be used for liquidation where the sale proceeds of unpaid securities are inadequate to cover the pay-in obligations and/or where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required. PeSB shall have the right to sell client's securities or close out client's open positions / contracts but it shall not be under any obligation to undertake this exercise compulsorily and therefore shall not be under any obligation to compensate/ or provide reasons for any delay or omission on its part to sell client's securities or close open positions / contracts of the client and client shall be solely responsible for the loss incurred on such liquidation.

6. Shortages in Obligation and penalty for defaulting client :

Clients are required to make Securities / Funds payin on or before T+2 day for cash market & T+1 for F & O market. In case of default in security pay-in by the client and the shortage is at member level i.e. internal shortage, a penalty as applicable from time to time, will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client. Any Penalty as per regulatory Exchange guidelines would be levied.

In case of default of securities pay-in by the client and the shortage is vis-a vis the Exchange, auction value of the respective exchanges and all levies, as applicable, shall be recovered from the defaulting client.

7.Conditions under which a Client may not be allowed to take further positions or the Member may close the Existing positions of a Client:

Under various circumstances outlined in the Liquidation Policy section of the document, the

Client may not be permitted to take any fresh or further position until the full clearance of earlier Lawful dues, obligation, outstanding etc.

Further, the client shall tally its position with PeSB from time to time. In case of any delay or failure by the client in meeting any Lawful obligation, margin requirements etc. PeSB, at its discretion, may close the open position / contracts without any further intimation to the client in this regard as per the Risk policy.

8.Temporarily suspending or closing a Client's account at the Client's request:

The client is required to submit written request for closure of account or for temporary suspension of account clearly stating period of suspension, to the nearest branch office, sub-broker office or central processing cell at the registered office of the Member. Upon receipt of request and after satisfying itself with respect to all information/ documentation and settlement of Lawful client dues, the Member shall act upon the request within reasonable time but not later than 30 days from the date of request.

9.Suspension of trading account and Deregistering the client

Suspension of trading account PeSB may carry a periodic review of the client accounts and may, at its discretion, suspend the client's accounts from trading in the following circumstances :

- a) where the client s status is dormant or inactive during last 12 months from the date of last transaction
- b) where the client has not cleared the naked or uncovered debits in prescribed time,
- c) default by the client in honouring its settlement / margin obligation including cheque bouncing / auction of shares,
- d) irregular trading pattern from surveillance / AML perspective,
- e) where PeSB is unable to transfer the shares to the default demat account provided by the client till the client submits the revised demat account details along with proof ,
- f) where the client is categorized as ineligible due to being non-traceable, pending disputes /complaints, possible default by client and any other circumstances leading to raising non confidence in client including return of undelivered couriers citing reason of "no such person / addressee left /refusal to accept mails / POD s signed bythe third persons etc. "or

Digital Contract Notes (DCN) failed (Bounced email) on more than 3 instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation of financial and other details viz .,email id mobile no ,land line details or it is found to be belonging to a third person,

- g) where the account is under investigation by any regulatory body including receipt of notice from statutory, government or local authorities including income tax, service tax, a judicial or a quasi judicial authority, or client is arrested by way of court order, police action or any other legal action,
- h) where a client is reported to or known to have deceased,
- i) where client fails to provide executed or renewed mandatory documentary requirements as prescribed by Exchanges / Regulators from time to time and /or refusal to do the periodic submissions as required by Exchanges / Regulators,
- j) under such other circumstances as the PeSB might think just and proper on case to case basis.

Deregistering a client

PeSB may at its discretion de-register the client's account in circumstances including but not limited to the following -

- a) action taken by Exchanges / Regulators or being part of list of debarred entities published by SEBI,
- b) where the client indulge in any irregular activities not limited to synchronized trading, price manipulation, etc. resulting in violation of rules, regulations of the exchange and any other such activity
- c) based on information found in sites of CIBIL, Watch out investors, World check or client having suspicious back ground, link with suspicious organization etc.,
- d) Irregular trading pattern from surveillance / AML perspective,
- e) where the client is categorized as ineligible due to being non-traceable, disputes, possible default by client & any other circumstances leading to raising nonconfidence in client including return of undelivered couriers citing reason of "no such person / addressee left /refusal to accept mails /POD s signed by the third per-sons etc. "or Digital Contract Notes (DCN) failed (Bounced email) on more than 3 instances until client submits and registers new email id or non-delivery of the statement of account sent on periodic basis or non-updation

of financial and other details viz .,email id mobile no land line details or it is found to be belonging to a third person

- f) right to deregister after serving a 30 days written notice without assigning any reason thereof. In such case, PeSB shall have the right to close out the existing positions / contracts, sell the collaterals to recover its Lawful dues, if any, before de-registering the client's account.

10.Policy for Dormant /In-active account:

Where no transactions have taken place in client's account during a financial year, the account would be considered dormant / inactive with effect from 1st day of April of the next financial year & trades would not be allowed in such accounts. The accounts would be reactivated in the following way:

- 1) By way of email from the clients registered email id.
- 2) Signing a account reactivation form and submitting it in person at our office.

Client Signature :  x _____

* I have read the above said policies & procedures.

Voluntary General Terms & Conditions

THE CLIENTS ARE REQUIRED TO NOTE THAT THE BELOW MENTIONED CLAUSES ARE NOT MANDATORY AS PER THE EXCHANGE/SEBI REQUIREMENTS BUT ARE BINDING ON THE CLIENT IF THEY WANT TO AVAIL THE SERVICES OF **Pune e Stock Broking Limited** THE CLIENT MAY REVOKE ANY OR ALL THE CLAUSES OF THIS DOCUMENT BY COMMUNICATING IN WRITING AND IN SUCH AN EVENT THE BROKER RESERVES A RIGHT TO TERMINATE SOME OR ALL THE SERVICES OFFERED TO THE CLIENTS.

I/We having my/our office / residence address at (and)/We (name) of, Sub-Broker / Branch Manager / Remisier / Authorized Person / Introducer) hereinafter referred to as 'the Sub-Broker) having his / its office / registered office at registered as Clients / Constituents with **Pune e Stock Broking Limited** member of Bombay Stock Exchange Ltd. (Capital Market) & (F & O): National Stock Exchange of India (Capital Market) & (F&O) & (CDS) MCX Stock Exchange Ltd. (Capital Market) & (F & O) & (CDS), (MCX) Multi Commodities, SEBI Registration No.- INZ 000161438 hereinafter referred as 'the Broker' (PeSB), which expression shall, unless repugnant to the context and meaning thereof, be deemed to mean and include it's successors, assignees and legal representatives, do hereby state and confirm the following terms and conditions as agreed upon by me/us with the Broker.

1. On the Client Registration Application Form (KYC) being submitted by the Client, PeSB may, at its sole discretion, open the Client Account. This "Agreement/Client Agreement" shall become effective only upon PeSB opening and activating such Client Account. The Client is aware and agrees that the mere execution and/or acceptance of his "Agreement/Client Agreement" by PeSB does not oblige PeSB to open a Client Account and PeSB reserves the right to accept an applicant as a Client. PeSB is not obliged to disclose reasons for not accepting the applicant as a Client.
2. The Stock Broker reserves the right to make such changes to this "Agreement/Client Agreement" as may be considered necessary from time to time by giving notice of 15 days. Changes by Stock Exchanges / other Regulatory shall be with immediate effect, other changes shall be effective from the time the Client is notified thereof unless otherwise required by the Rules, Regulations & Bye-Laws of the Stock Exchange(s) or Rules & Regulations of SEBI.
3. I/We would maintain a running account with the Broker. I/We also authorize the Broker to hold the funds and securities in their custody till my/our further instructions given to them in writing or otherwise. 4. I/We hereby confirm to make payments for purchase and clear all debits before pay-in. The Broker is authorized not to released securities purchased by me/ us unless the funds obligations have been paid in full. In case the Broker does not receive funds before due date (i.e. pay-in-date) they will have all rights to sell the shares without any further intimation to me/us. The cost and consequences of such action shall be entirely our responsibility and shall be without any prejudice to the Brokers right to take any other action to recover the dues.
5. All Lawful fines / penalties and charges levied on you due to my/our transactions/deeds/actions are recoverable by you from my/our account(s).
6. In case of shares purchased being sold the next day or later on the same exchange or any other exchange it is hereby reconfirmed that I/we will make the payments first and then receive the payments on payout of the sale transactions.
7. The Broker will not be held responsible for any loss that may occur due to technical failure/natural calamities / theft / fire, etc. or any other reason which may be beyond the control of the Broker.
8. The Client agrees that he will not make any third party payment / cash payment from any account (other than what is specified in the Client "Agreement / Client Agreement" /KYC). The Client also agrees that the Broker may reject such third party cheques / payment and the Client will not hold the Broker responsible for any loss incurred in such cases.

Client Signature : 15 

9. The Client individually shall indemnify and shall always keep indemnified the Stock Broker harmless from and against all Lawful claims, demand, actions, proceeding, loss, damages, liabilities, charges and/or may be occasioned to the Stock Broker directly or indirectly, owing to bad delivery (as defined by the exchange rules / regulations / byelaws) of shares / securities and / or as a result of fake/forged/stolen shares/securities/transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealing /operation on the Stock Exchange. The Client hereby agree to indemnify the Stock Broker and Sub Broker against all claims including legal costs incurred to defend any claims made by the Client. The Sub Broker hereby agrees to indemnify the Stock Broker against all claims.
10. My/Our funds/shares lying in the margin account may be used by the Broker for the purpose of placing same as margin with the exchange and/or clearing Member.
11. Tape recording of Client conversation : The Sub Broker / Client is aware that the Stock Broker may tape - record the conversation between the Sub Broker / Client or the Client's representative and Stock Broker, either personally or over the telephone, and the Client hereby specifically permits the Stock Broker as and when required to resolve disputes in connection with the transaction.
12. The Client hereby agrees that he shall not deposit excess payment cheques, if any, received from the Broker for any reason whatsoever and bring it to the notice of Sub Broker and Stock Broker.
13. It is hereby agreed between the Client and the Stock Broker that the ledger statement in respect of transaction entered into on the cash segment of the exchange will combined for the purpose of convenience of the Stock Broker and the Client and the payment received and paid by the Stock Broker will be appropriated on a First-in-First out basis.
14. PeSB reserves the sole and exclusive right to determine the Channels through which the Client may access/receive the Service.
15. Any failure on my/our part in payment of margins shall be viewed seriously and the Broker is authorized not to allow me/us any further exposure and also authorized to square off my/our existing position/ s and/or sell the securities lying with the Broker as collateral.
16. The amount of security margin deposited with the Broker will always be interest free and the Broker shall have the right to adjust the same against any outstanding dues in my/our Client account operated by me/us with the Broker. In the event of closure of account with the Broker, the balance of securities, deposit amounts (if any) shall be refunded only after all the transactions in all our and/or family accounts across segments are fully settled and/or intimation of closure, which ever is later. Also the intention of closure of account will be duly intimated in writing only.
17. All debits/Lawful charges incurred by the Stock Broker due to bad / short / delayed deliveries made by the Client shall be fully recovered by the Stock Broker from the Client.
18. In case of delay of payment by the Client to the Stock Broker on its due date, the Stock Broker in respect of such delayed payment will charge interest. The said delayed payment shall include amounts payable by the Client to the Stock Broker in respect to his/her Lawful obligation.
19. For the purpose of this "Agreement/Client Agreement" the term "Dues of Client" shall include the amount of monies payable by the Client including, but not limited to, the purchase price of the securities, Brokerage, Margin Money, Service Tax, Turnover Tax, Auction Debit and Charges, Services Charges, Demat charges and other Lawful amount agreed to and payable by the Client to the Stock Broker.
20. I/We further authorize you to directly debit my/our account with any Lawful charges incurred or defined by you such as depository, Client Registration Application Form or bank charges with respect to our trading accounts including those incidental to the margin accounts maintained by you on our behalf.
21. The Client shall deposit with the Stock Broker money's / securities or which may be required to open and/or maintain his/her/their account. All moneys, securities, or which Member may hold on Client account, shall be held subject to general lien for the discharge of Clients obligations to member under this "Agreement/Client Agreement".

22. Any Stamp Duty liability imposed by any Central/State Government, Limited to client A/C Position/Transaction which may arise from time to time will be borne by the Client. **Pune e Stock Broking Limited** its directors, employees or assignees will not be held responsible for the same.
23. You are requested to kindly accept my verbal, telephonic or electronic instructions to place/modify/cancel the orders and not insist for the same in writing. I/We do not require order slip(s) and Trade slip(s) generated by the computer system pertaining to my/our order/transactions.
24. The Broker shall not take any responsibility for unexecuted orders. All on-line Best-Market orders would NOT be presumed as executed unless confirmed as trade by the respective exchanges trading system.
25. All the orders placed by me/us with you are on my/our own account and not on behalf of my/our Clients. No split confirmation memos are required or orders executed by you on my/our behalf or I shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes to anyone else for the trades done by me/us.
26. The Sub Broker will not be responsible for partial execution of order placed by the Client. The Client also agrees that all orders placed by him shall be treated as orders for that particular session only. In case the Client wants the orders to be carried forward or extended for the day he shall communicate the same to the Stock Broker and the Sub Broker.
27. The cancellation or modification of an order pursuant to the Client's request is not guaranteed. The order will be cancelled or modified only if the Client's request for cancellation or modification is duly received and the order is successfully cancelled or modified before it is executed. Market orders are subject to immediate execution.
28. The securities sold through the Broker on my/our account are belonging to me/us as legal, rightful and beneficial owner/s. I/We take full responsibility of any dispute regarding the title of the securities sold through the Broker and state that I/We will deal only in those securities that would be rightly owned by me/us.
29. Any queries related to securities delivered by the Broker, would be brought to the notice of the Broker preferably within 2 days of the receipt of such securities in my/our demat account.
30. In rolling settlement scenario, it is my/our responsibility to check my/our beneficiary demat account on a regular basis with our respective DP's.
31. I/We shall not sell any securities / shares until I/We have confirmed clear balances of holding of the same in my/our demat account. Further in case I/We buy securities in one Exchange and sell the same on another Exchange, or if I/We buy securities and sell back the same before having received them in our demat account, I/We hereby confirm that I/We shall be fully responsible in the event of any auctions happening of my/our sale obligations, due to the deliveries having been received short from the purchasing exchange and/or due to the operational / procedural delays for inter depository and time taken by depositories to execute the same and / or for any reason whatsoever. Also all such consequences, auctions, Lawful penalties or any other financial loss or Lawful charges will be purely and entirely on my/our account and the Broker will in no way be responsible and/or liable for the same.
32. The Client agrees that it will not transfer any securities from any demat account (other than what is specified in the Client "Agreement/Client Agreement". The Client also agrees that the Broker may reject such third party transfers and the Client will not hold the Broker responsible for any loss incurred in such cases.
33. The shares shall be delivered by the clearing houses(s) to the Clients Demat account on payout date subject to clear account balance with the Stock Broker. Failure of which, the Stock Broker will be entitled to sell the shares without any intimation to Client and the loss if any shall be to the Client's account.
34. In case the contract note is sent through courier, the clients duly acknowledged courier receipt of the same should be treated as confirmation of receipt of such contract.

35. The Client authorizes the Stock Broker to retain order confirmation / cancellation / trade confirmation slips and to send it to him only on specific request being made in this regards.
36. I/We wish to state that my/our email id is provided to you at the time of client registration/as per the modification letter provided by me, checked by me/us regularly. I/We also wish to say that all mails of contracts, bills, confirmation notes, quarterly compliance related reports like ledger accounts, holding etc. may please be sent to this email id and non receipt of bounced mail notification by you shall amount to delivery of the documents.
37. Any queries related to my/our contract and/or confirmation or bill, shall be brought to the notice of the Broker preferably within 24 Hrs. after receipt of contract / confirmation and/or bill.
38. The Client agrees that it will not indulge in manipulative trades or indulge in any sort of activity related to the trading in securities, which are prohibited under law.
39. Type of services offered : The Stock Broker agrees to provide, and the Client agrees to avail of the trading facilities of the respective exchanges capital market and / or derivatives segment.
40. INVESTMENT ADVICE :
- a) The Client acknowledges that the Stock Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.
 - b) The Client agrees that in the event of the Stock Broker or any employees or official of the Stock Broker providing any information, to the Client, the Client may act upon the same at the sole risk and cost of the Client and the Stock Broker shall not be liable or responsible for the same.
 - c) The Client assumes full responsibility with respect to his investment decisions and transaction.
 - d) The Stock Broker, its officers, directors, agents will have no liability with respect to any investment decisions or transactions with Client.
 - e) PeSB does not intend to give and the Client acknowledges that PeSB shall not be liable to provide to the Client, any tax, legal or investment advice of any kind or any advice or opinion with respect to the nature, potential value or suitability of any particulars securities trade, transaction, investment or investment strategy. The Client understands and agrees that in the event the Client receives or accesses any investment research reports or any investment or other recommendations or advice from PeSB and/or any Sub-brokers/Authorised person (or any employee or official of PeSB or a Sub-brokers/Authorised person) or on PeSB Web Site or that of any Sub-brokers/Authorised person, the same is on a no-liability, no guarantee, no-solicitation and no-obligation basis and any decision, action or omission thereon by the Client shall be entirely at the Client's risk and should be based solely on the Client's own verification of all the relevant facts, financial and circumstantial, a proper evaluation thereof and the Client's investment objectives and PeSB shall not be responsible or liable for the same for any reason whatsoever.
 - f) The Client shall always keep himself abreast of all requirements to be complied by him under various laws including the Foreign Exchange Management Act, 1999 wherever applicable and the rules, regulations, directions, circulars, notifications or guidelines issued under or pursuant to the relevant laws.
41. The Client shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password.
42. Notification : The Client agrees to furnish such details including details as regards financial position, assets, liabilities etc. as and when required to do by Stock Broker or Sub Broker.
43. Proprietary Trading : The Stock Broker hereby states & informs that it undertakes proprietary trading in Cash (Capital Market) & Currency, F&O segment of BSE & NSE, MCX in addition to Client based trading.

Client Signature :  x _____

44. PROVISIONS OF MONEY LAUNDERING ACT 2002 :

- a) The Sub-brokers/Authorised person/Client has read and understood the provision of Money Laundering Act 2002 applicable from 1st July 2005.
- b) The Sub-brokers/Authorised person/Client agree to comply with the said Act.
- c) The Sub-brokers/Authorised person/Client shall inform the Compliance/Principal officer of PeSB of series of transactions integrally connected to each other, which have been valued for more than 10 lakh or its equivalent where such series of transaction take place within a calender month.
- d) The Sub-brokers/Authorised person hereby undertake to introduce Client after proper due diligence of the Clients including the background, references & sources of income and satisfying themselves of the identity & creditworthiness.

45. INTERNET TRADING :

- a) The Client is aware that authentication technologies and strict security measures are required for the internet trading 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.
- b) The Client agrees that the Stock Broker shall not be liable or responsible for non-execution of the orders of the Client due to any links/system failure at the Client/Stock Broker/Exchange end.
- c) The Broker shall also send the Order/Trade Confirmation slip through email to the Client at his request, within 24 hrs. from the time of execution of order/trade on the system, as the case may be. The Client agrees that the information sent by the Stock Broker by email is deemed to be a valid delivery of such information by the Stock Broker.
- d) The Client is aware that the Stock Broker has provided on the website a facility for reconfirmation of orders, which are larger than that specified by the Stock Broker risk management, by the Stock Broker and is also aware that the Stock Broker has the discretion to reject the execution of such orders based on its risk perception.

46. SEVERABILITY : In the event of any provision of this "Agreement/Client Agreement" being held to be becoming invalid, unenforceable or illegal for any reasons, such invalidity unenforceability or illegality shall attach only to such provision or condition, and this "Agreement/Client Agreement" shall remain otherwise in full force apart from the said provision, which will be deemed deleted. The validity of the remaining provisions and conditions shall not be affected thereby and this "Agreement/Client Agreement" shall be carried out as if any such invalid or unenforceable provision or condition was not contained herein. The Stock Broker shall however attempt to replace the deleted provision with a legally valid provision that reflect the same purpose as the deleted provision to the greatest extent possible.

47. NO WAIVER : Any failure and/or delay on the part of the Stock Broker to insist on strict compliance/exercise with any of the terms, conditions, provisions, powers and/or rights in this "Agreement/Client Agreement" or a continued course of such conduct shall at no time operate as waiver, in full/part, of such terms, conditions, provisions, powers and/or rights. All such powers, remedies and/or rights are cumulative and not exclusive to any other powers, remedies and/or rights that the Stock Broker may otherwise have.

Date : Client Signature  x _____

Place : Name

(TO BE SIGNED VOLUNTARILY BY CLIENT)

BSE STAR MF

To

Date: _____

Pune e Stock Broking Limited

1198, Shukrawar Peth,
Subhash Nagar, Lane No. 3
Pune-411002

Sir,

Sub: BSE StAR MF

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd.

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in BSE StAR MF.

Thanking you,

Yours faithfully,

 x

(Client Signature)

(TO BE SIGNED VOLUNTARILY BY CLIENT)

Mutual Fund Services System Facility

Date: _____

To,
Pune e Stock Broking Limited
1198 Shukrawar Peth, Subhash Nagar,
Lane No. 3, Near Hirabaug,
Pune - 411002

Dear Sir,

Sub: Mutual Fund Service System (MFSS) facility

I/We _____ am / are registered as your client with Client Code No. _____ and have executed the Trading Member and "Agreement/Client Agreement" for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd., (Exchange).

I / we am / are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I / we state that Know Your Client details as submitted by me / us for the stock broking may be considered for the purpose of MFSS and I / we further confirm that the details contained in same remain unchanged as on date.

I / We are willing to abide by the terms and conditions as specified by the Exchange from time to time in this regard.

I / We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I / We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Scheme with conditions, rules and regulations of the Mutual Fund Schemes.

I / We therefore request you to register me / us your client for participating in the MFSS.

Thanking you,

Yours faithfully,

 _____

(Client Signature)

Running Account Authorization

As per SEBI circular MIRSD/ SE /Cir-19/2009 dated December 3, 2009 and SEBI/HO/MRD/DP/CIR/P/2016/135 dated December 16, 2016, the settlement of funds and / or securities shall be done within 1 working day of the pay-out, unless client specifically authorizes the trading member in writing to maintain a running account.

Vide SEBI circular no. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019, running account for securities has been discontinued and therefore, SEBI circulars dated December 03, 2009 and September 26, 2016, are now applicable for settlement of running account of client's "funds" only.

As per SEBI/Exchange Circulars the settlement of funds shall be done within 1 working day of the payout, unless client specifically authorizes the PeSB Ltd in writing to maintain a running account. Clients whose funds are maintained on a running account basis have to be settled by "PeSB Ltd on a monthly / quarterly basis as per the client preference.

In case a client wishes to maintain a running account for its funds with thePeSB the client has to authorize the PeSB In writing to retain its funds. Such authorization should also contain:

- Preference of the client as to whether the settlement of funds should be done on a monthly or quarterly basis.
- Client may revoke the authorization at any time (i.e., without notice).


Accordingly, the actual settlement of funds shall be done at least once in a calendar quarter or month, depending on the preference of the client.

PeSB needs to settle the accounts of all clients on a monthly/quarterly basis who have opted for maintenance of running account instead of bill-to-bill settlement. However, in case of new clients who are registered at the end of a month / quarter, no settlement would be required to be done in the first month / quarter respectively in which the client is registered.

Accordingly, PeSB need to consider the EOD balance of funds of clients across all segments of the Exchanges while settling the client accounts. While settling client accounts, funds of clients need to be settled on the same day..

Accordingly, the following funds may be retained by a PeSB at the time of settlement :

- Entire pay-in obligation of funds outstanding at the end of day on date of settlement, across all segments.
- Member may retain 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/ MTM.
- Apart from 50% cash margin, PeSB may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut).
- The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the PeSB from their clients as per the risk management policy and informed to the clients.

Client Code	Name of The Client	Client Signature
		

(TO BE SIGNED VOLUNTARILY BY CLIENT)

Date : _____

To,
Pune e Stock Broking Limited
1198, Shukrawar Peth.
Subhash Nagar, Lane 3,
Pune - 411 002.

Dear Sir,

SUB: Letter of Authority / Mandate or issuance of digital contract notes/Bills/Ledger accounts etc.

I / We am / are registered clients with you and dealing in capital Market / Commodities Market.

In reference to my/our dealings with you as your client I / We hereby authorize you to send the digitally signed contract Notes / Bills / Ledgers Accounts etc. at my / our following email id. In order to facilitate ease of operations. I/We hereby give my/our consent and agree to accept the related information / document at the under mentioned EMAIL ID as the valid one.

In case of any query, I / We intimate you / branch preferably within 24 hours thereof. In case of any change in my / our aforesaid email id I / We undertake to intimate the same to you in writing.

Kindly activate my email id and start sending digital contract notes and other market related Obligations / Communication on this email address.

I / We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my / our email account (s) / email id (s).

Client code :

Email ID 1. : _____ Email ID 2. : _____

DECLARATION FOR DELIVERING TRADE CONFIRMATIONS VIA SMS

To,
Pune e Stock broking Limited

I / We hereby agree and give my / our consent for sending the trade confirmations and any other information related to trading accounts / securities market etc via SMS. For this purpose, I / We would like to confirm following details for the database maintained with you.

Please update the records with the same.

Mobile No. : _____

Thanking you,

Yours faithfully

 _____

(Client Signature)

Name : _____

(TO BE SIGNED VOLUNTARILY BY CLIENT)
CONSENT FOR INTRA / INTER SEGMENT, INTER EXCHANGE MOVEMENT OF FUNDS

To,
Pune e Stock Broking Limited
1198, Shukrawar Peth.
Subhash Nagar, Lane 3,
Pune - 411 002.

I/We _____ registered with **Pune e Stock Broking Limited** as client / constituent on the BSE and/or NSE, MCX and / or MCX-SX Cash/Capital Markets / and /or Futures & Option / Currency Derivatives and having a Depository Account with PeSB member CDSL do hereby authorize you as under :

To move / transfer funds from any / all my/our account/s and/or payouts resulting on account of sale of shares and securities and/or payouts due to settlement/closing of contracts and/or margin refunds from capital market and/or F&O, Currency of BSE, MCX and/or NSE and adjust the same towards debit balances in any/all my/our accounts of capital market and/or F&O segment, currency of BSE, MCX, and/or NSE and debit balances in depository account and/or any other debits and/or payments.

I/We also understand that this would save on banking and/or operational delays and cost towards transfer of funds between an account where I/we have a credit balance to an account where I/we have a debit balance. Further, you are authorized to do the transfer, either by passing a journal entry in your books of accounts of the respective section/ department and by physical exchange of cheques.

I/we have affixed signatures herein below consenting to the above and the same shall be in force until I/we revoke it in writing.

AUTHORITY LETTER
AUTHORITY TO DEAL & ACCEPT ORDERS ON TELEPHONE

Herewith I/We authorise _____

_____ to place the orders / deal through PeSB on my behalf. All the instructions given by him / them are binding on me and to be treated as received from me.

Signature on this _____ day of _____ 20 _____ at _____

Client Signature :  _____

Name/s : _____

Client Code : _____

DP Account No. : _____

(TO BE SIGNED VOLUNTARILY BY CLIENT)

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

In compliance with the provision of prevention Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document.

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436 (E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD / CIR / RR / AML / 1 / 06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD / CIR / RR / AML / 2 / 06 dated March 23, 2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirment of Sec 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and / or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications direction issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company reserves the right to seek information, record consitituents telephonic calls and / or obtain or retain documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete details or information for this purpose.


The consitutents or their attorney, if any, shall produce independent source document, such as photographs, certified copies of ration card / passport / pan card / driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses / fails to produce the documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituents. Thus the KYC documentation shall be complied by all the constituents in its true spirit and word.

The, Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and reporting the same to FIU-IND.

This document from an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

For and on Behalf of Constituent

 _____
(Constituent Signature)

Name : _____

MTF Agreement

Pune 411002 (Head office) (hereinafter referred to as “the Broker”, which expression shall, unless repugnant to the meaning or context thereof, be deemed to mean and include its successors and assigns) of the One Part;

And

M/s/Mr./Mrs./Ms. _____ (Mention Client name), unique client code being _____ (Mention Client UCC), whose details are as below

Address: _____

Mobile: _____ Email: _____

(hereinafter referred to as the “Client” which expression shall, unless repugnant to the context or meaning thereof be deemed to include his/her/its heirs and/or legal representatives and/or successors and/or executors and/or permitted assignees and/or administrators and/or successors in business) of the Other Part

WHEREAS:

- a) Pune e Stock Broking Limited is engaged, inter alia, in the business of stock broking and is a Trading Member of BSE Limited, National Stock Exchange of India Ltd, Multi Commodity Exchange of India Ltd, with SEBI Registration Number INZ000161438.
- b) Pune e Stock Broking Limited is engaged in providing a Margin Trading Facility (hereinafter referred to as MTF), as described hereinafter, to those clients who are registered with it as a client for availing Stock Broking Services and have also entered into an agreement for availing of the Margin Trading Facility.
- c) The Client is registered with Pune e Stock Broking Limited as a client for stock broking services and is desirous of availing Margin Trading Facility, and has approached Pune e Stock Broking Limited with that request.
- d) Upon the request of the Client, Pune e Stock Broking Limited has agreed to provide the said facility to the client subject to the terms and conditions contained in this Agreement.

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN PUNE E STOCK BROKING LIMITED AND CLIENT AS UNDER:

I. DEFINITIONS & INTERPRETATIONS

1. “**Initial margin**” means the minimum amount, calculated as a percentage of the transaction value, to be placed by the client, with Pune e Stock Broking Limited, before the actual purchase. Pune e Stock Broking Limited will advance the balance amount to meet full settlement obligations.
2. “**Maintenance margin**” means the minimum amount, calculated as a percentage of the market value of the securities, calculated with respect to the last trading day’s closing price, to be maintained by the client with the broker.
3. “**Margin Trading Facility**” or MTF means and refers to the facility pursuant to which part of the transaction value due to the Stock Exchange, at the time of purchase of Shares, shall be paid by Pune e Stock Broking Limited on behalf of the Client on Client’s request, on such terms and conditions as contained in this Agreement.
4. “**Mark to Market Loss**” or “**MTM Loss**” means the difference between the purchase value of the shares and the marked-to-market value of these shares.
5. “**Mark to Market Value of shares**” or “**MTM Value of Shares**” means the value of shares calculated with reference to the previous day’s closing price on the Stock Exchange.
6. “**Share/s**” means and refers to the shares/stock/securities eligible for margin trading facility, as specified by the SEBI from time to time and approved by Pune e Stock Broking Limited for the purpose of granting MTF.
7. “**Stock Exchange**” means the stock exchange on which the shares have been purchased.

Unless the Context otherwise requires:

1. The expression month and year shall be to the calendar month or calendar year.
2. Reference to date or dates which do not fall on a working day, shall be construed as a reference to the day or date falling on the immediately subsequent Working Day.

II. CLIENT REPRESENTATION:

The Client hereby undertakes to:

1. Place the initial and maintenance margin amounts as Pune e Stock Broking Limited may specify to the Client from time to time, subject to requirements specified by SEBI.
2. Authorize retention of the shares with Pune e Stock Broking Limited upon the receipt of the same in the payout from the Stock exchange till the amount due in respect of the said transaction including the dues to Pune e Stock Broking Limited is paid in full by the client.
3. To pay to Pune e Stock Broking Limited - brokerage, commission, fees, transaction costs, service
4. Tax, stamp duty and other taxes/expenses as are prevailing from time to time and as they apply to the Client's account, transactions and to the Services that Pune e Stock Broking Limited renders to the client. Abide by any revision in any of the terms of this agreement as may be agreed between the parties.

III. CLIENT'S WARRANTIES

The Client warrants represent and assures Pune e Stock Broking Limited that:

1. He has the necessary authority to enter into this Agreement and observe and perform the obligations herein contained.
2. He shall duly observe and perform the conditions and obligations stated herein.

IV. BROKER'S REPRESENTATION

The Pune e Stock Broking Limited represents that:

On entering into this agreement and deposit of initial margin by the client, the Pune e Stock Broking Limited undertakes to settle the obligation towards the Stock Exchange for and on behalf of the Client. The Client hereby agrees and authorizes Pune e Stock Broking Limited to make such payment on his behalf.

V. MARGIN TRADING FACILITY

1. The margin facility shall carry interest at __% per annum payable _____.
2. The Client shall be free to take the delivery of the Share at any time by repaying the amount that was paid by Pune e Stock Broking Limited to the Stock Exchange towards Shares, and further paying all such sums of money as may be due towards brokerage, transaction costs and charges, service tax and other costs towards his transactions. Alternatively, the Client may at any time, but not before the delivery of the Shares has been actually received by Pune e Stock Broking Limited, choose to sell the Shares on the Stock Exchange by issuing appropriate instructions to Pune e Stock Broking Limited.
3. Provided however that, the Client may at his risk as to cost and consequences, choose to sell the Shares prior to receipt of confirmation from the Stock Exchange of delivery of Securities against his Purchase, and in such situation, the Client shall be fully responsible to bear the losses/costs arising due to auctions/closeouts by the Stock Exchange, in the event the delivery against purchase fails to materialize.
4. Where the Shares are sold as provided in sub-clause 2/3 above, Pune e Stock Broking Limited will effect the pay-in of Shares to the Stock Exchange in accordance with the Stock Exchange requirements. Upon receipt of sale proceeds from the Stock Exchange towards the sale of Shares, Pune e Stock Broking Limited shall, after deducting therefrom brokerage, fees, charges, levies, taxes, duties and other costs, charges and expenses, and further deducting amounts due to it from the Client on account of money paid by Pune e Stock Broking Limited on his behalf to the Stock Exchange at the time of purchase of Shares, effect the net payment to the Client.

5. Pune e Stock Broking Limited may, at its sole and absolute discretion, revise the limit of initial and/or maintenance margin amount from time to time. The Client agrees and undertakes to abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as Pune e Stock Broking Limited may permit, failing which the Client shall be deemed to be in breach of this Agreement.
6. The MTF shall be provided only in respect of such Shares as may be decided by Pune e Stock Broking Limited from time to time.
7. The Client may furnish further Margin Amount from time to time for availing higher MTF Limit.

VI. MONITORING CLIENT'S POSITIONS

1. Pune e Stock Broking Limited shall monitor and review on a continuous basis the client's position with regard to the margin trading facility.
2. The Pune e Stock Broking Limited shall make a 'margin call' requiring the client to place such Margin Amount as may be specified by Pune e Stock Broking Limited with a view to make up for the MTM Loss, if any, in accordance with SEBI requirements.
3. On receipt of 'margin call' intimation from Pune e Stock Broking Limited, the Client shall make good such deficiency by placing the further Margin Amount, within such time as is specified by SEBI, failing which the Client shall be deemed to be in breach of this Agreement.
4. Notwithstanding what is stated above, Pune e Stock Broking Limited may immediately sell the Shares, in the circumstances specified by SEBI and for this purpose, the Client do hereby expressly authorize such sale, and thereafter, the sale proceeds shall be treated in the manner specified in Clause V.4 above. The Pune e Stock Broking Limited may, in its sole discretion, determine which Shares is/are to be sold, and/or which contract(s) is/are to be closed.
5. The Client agrees and understands that Pune e Stock Broking Limited shall have full freedom and authority to vary, modify, revise the initial and maintenance margin amount, minimum transaction amount from time to time, subject to the SEBI requirements in this respect, and Client agrees to abide by such variation, modification or revision.

VII. PLEDGE OF SECURITIES

Notwithstanding anything contained in this Agreement, the Client hereby pledges and shall have deemed to have pledged forthwith the Shares, at the time when received by Pune e Stock Broking Limited, as security for repayment and settlement of amounts due to Pune e Stock Broking Limited from the Client under Margin Trading Facility along with interest and other amounts payable thereunder. The Client hereby records that the share certificates account statements or any other documents evidencing the right, title and interest of the Client as the holder of the Securities shall remain deposited and shall be deemed to have been deposited by the Client as having been deposited being marketable securities, for repayment of the amounts due under the Margin Trading Facility and this instrument accordingly shall be deemed to be connected with the mortgage of the marketable securities/Shares as contemplated by Section 24 of the Bombay Stamp Act, 1958/ Section 23A of the Indian Stamp Act, 1899 or the corresponding/relevant provisions of the Stamp Act as in force in the relevant state.

VIII. BREACH OF THIS AGREEMENT

In the event of Client committing any breach of any terms or condition of this Agreement, Pune e Stock Broking Limited shall be entitled to terminate this Agreement forthwith. However, Pune e Stock Broking Limited at its option may elect to give notice to the Client of such duration, and extended from time to time, if so decided by Pune e Stock Broking Limited, requiring the Client to cure the breach.

IX. TERMINATION & EXPIRY

1. This Agreement shall stand terminated forthwith, as provided in Clause VIII above, or on the Client failing to cure the breach within the time period as provided in the Notice given thereunder.
2. This Agreement shall automatically stand terminated, without any further act on the part of any party hereto, on and from the date of termination/determination of the Client Member Agreement executed between the parties hereto in respect of stock broking services provided/being provided by Pune e Stock Broking Limited to the Client.

3. In the event of termination / determination of this Agreement, the Client shall forthwith settle the dues of Pune e Stock Broking Limited. Pune e Stock Broking Limited shall be entitled to immediately adjust the Margin Amount against the dues of the Client, and the Client hereby authorizes Pune e Stock Broking Limited to make such adjustment.
4. After such adjustment, if any further amount is due from the Client to Pune e Stock Broking Limited, the Client shall settle the same forthwith. Upon full settlement of all the dues of the Client to Pune e Stock Broking Limited, Pune e Stock Broking Limited shall release the balance amount to the Client.
5. In the event of failure of the Client to settle the dues of Pune e Stock Broking Limited within ____ days, Pune e Stock Broking Limited shall be entitled to enforce its rights and shall be entitled to sell off Shares, and adjust/apply the net sale proceeds thereof in recovery of its dues.

X. NOTICES & COMMUNICATIONS

1. Any notice or other communication to be given by one party to the other under or in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by confirmed facsimile transmission or by prepaid registered post or email to the addressee at the address/number (if any), of that party set opposite its name below:

(a) Notices / Communications to be sent to

Pune e Stock Broking Limited:

Address:

Phone: _____

E-mail:

(b) Notices / Communications to be sent to the Client:

Address:

Phone: _____

E-mail:

XI. ARBITRATION

All disputes, differences, claims and questions whatsoever arising from this Agreement between the parties and/or their respective representatives touching these presents or any clause or thing herein contained or otherwise in any way relating to or arising from these presents shall be referred to the arbitration mechanism of the stock exchange. Such arbitration shall be conducted in accordance with and subject to the provisions of the Arbitration and Conciliation Act, 1996 or any statutory modification or re-enactment thereof for the time being in force and the stock exchange bylaws.

XII. WAIVER

Subject to SEBI requirements, any of the terms and conditions of this Agreement may be waived at any time by Pune e Stock Broking Limited, but no such waiver shall affect or impair the right of Pune e Stock Broking Limited to require observance and performance of any other term or condition hereof and no waiver hereunder shall be considered valid unless made in writing and signed by Pune e Stock Broking Limited and no such waiver, or any failure or delay on the part of Pune e Stock Broking Limited to exercise any right, power or privilege hereunder shall be deemed a waiver of any subsequent breach of default nor

shall any single or partial exercise of any such right, power or privilege preclude any further exercise thereof or the exercise of any other right, power or privilege.

XIII. CLIENT CONFIDENTIALITY

The member hereby undertakes to maintain, the details of the client as mentioned in the client registration form or any other information pertaining to the client, in confidence and that he shall not disclose the same to any person/entity except as required under the law Provided however, that the member may share the details of the client as mentioned in the client registration form or any other information pertaining to the client with parties/entities other than required under law with the express permission of the client.

IN WITNESS WHEREOF the parties hereto have set their respective hands-on the date above-mentioned

Signed and delivered by _____)

_____)

for and on behalf of)

Pune e Stock Broking Limited)

in the presence of:)

_____)

Signed and delivered by the within named)

Client, _____)

_____) X

in the presence of:)

_____)

Annexure – 4

MTF RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSON AND CLIENTS as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such

form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the authorised person 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 authorised person 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, authorised person 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, authorised person and the client shall be entitled to exercise any other rights which the stock broker or the client may

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

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

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

**Authorization in the name of family member for Trading Account
(TO BE VOLUNTARILY SIGNED BY CLIENT)**

To,
Pune e Stock Broking Limited
1198 Shukrawar Peth,
Subhashnagar Lane No.3
Pune - 411002

Sub. : Authorization to deal in my Trading A/C.

Dear Sir,

I hereby authorize Mr./ Ms. Who is my Husband/Wife/Son/Daughter/Father/Mother , to place orders on my behalf with the PESB – Branch namely.

The above said authorized family member is further authorized to collect and deliver cheques /bills /contract note /delivery instructions or any other required documents as the case may be, on my behalf.

I understand that I will be fully responsible for all the trades done in my account by my authorized family member, mentioned herein above. The above authorization are without prejudice to my rights as per the agreement between me and Trading member for the said trading account.

Kindly do the needful.

Yours truly,

Client Signature (UCC Code)

(Signature of Authorized Person attested)

(Relation – Husband / Wife / Son / Daughter / Father/Mother)

Note- PAN Card copy of Authorized Person is required with this letter.

AUTHORITY LETTER FOR INDIVIDUAL
(TO BE VOLUNTARILY SIGNED BY CLIENT)

Date:

To

Pune e Stock Broking Limited

1198 Shukrawar Peth, Subhashnagar Lane No.3

Pune - 411002

Subject : Authority to execute trade on behalf of _____

Dear Sir,

I _____ have opened trading/ demat account with Pune e
Stock Broking Limited having UCC _____ hereby give my consent to
Mr. _____ to execute trades in my trading / demat account. The trades
executed by the said authorized person will be binding upon me as per exchange / SEBI regulations.

Thanking You

(Client name _____)

Client Sign _____

Sign _____

(Person to whom the authority is given)

AUTHORITY LETTER FOR NON-INDIVIDUAL

(TO BE VOLUNTARILY SIGNED BY CLIENT)

To

Pune e Stock Broking Limited

1198 Shukrawar r Peth, Subhashnagar Lane No.3

Pune - 411002

TO APPOINT AS AN AUTHORISED SIGNATORY OF FIRM:

“**RESOLVED THAT** the Firm has decided to authorize is hereby authorized to sign/execute and submit all the necessary papers, letter, agreements, documents, writings, submissions etc.to be submitted by the Firm in connection with the day-to-day business transactions, Banking Transactions including Opening and Closing of Bank Accounts, operations and Mutual Funds Investment and redemption related papers and correspondence along with forms documents related with Stock and Commodity Trading KYC and client Registration forms to get register with Stock and Commodity Trading KYC and client Registration forms to get register with Broking Entity to place Buy-sell orders for all market segments of Equity, Currency, Commodities and Demat Account . The acts done and documents signed by he/she shall be binding on the Firm, until the same is withdrawn by giving written notice thereof.

Specimen Signatures of Authorized Signatories:

Name of Authorized	Designation	Specimen Signature

CERTIFIED TO BE TRUE

DEMAT REGISTRATION FORM

Documents Required for Account Opening

A. Proof of Identity

- I. PAN card with photograph - **Mandatory**
- II. Voter ID Card
- III. Driving License
- IV. Passport
- V. MAPIN Card
- VI. Identity card / document with applicant's photo, issued by :
 - a) Central/State Government and its Departments
 - b) Statutory/Regulatory Authorities
 - c) Public Sector undertakings
 - d) Scheduled Commercial banks
 - e) Public Financial Institutions
 - f) Colleges affiliated to Universities
 - g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc, to their members
 - h) Credit Cards/Debit Cards issued by Banks with photo

B. Proof of address

- I. Ration Card
- II. Passport
- III. Voter ID Card
- IV. Driving License
- V. Bank Pass Book
- VI. Verified copies of
 - a) Electricity bills (not more than two months old)
 - b) Residence Telephone bills (not more than 2 months old) and
 - c) Leave and License Agreement / Agreement for sale
- VII. Self declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- VIII. Identity card/document with address, issued by :
 - a) Central/State Government and its Departments
 - b) Statutory/Regulatory Authorities
 - c) Public Sector undertakings
 - d) Scheduled Commercial banks
 - e) Public Financial Institutions
 - f) Colleges affiliated to Universities
 - g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc, to their members

Depository Account Opening Document (AOD) - Checklist (Investor)

Name of the Document	Accepted	Name of the Document	Accepted
Address Proof	<input type="checkbox"/>	HUF Declaration	<input type="checkbox"/>
Identity Proof	<input type="checkbox"/>	Fax Indemnity (Optional)	<input type="checkbox"/>
Proof of Bank Account	<input type="checkbox"/>	DP Agreement	<input type="checkbox"/>
Total No. Signature	<input type="checkbox"/>	Power of Attorney agreement	<input type="checkbox"/>
Cheque favouring " Pune e Stock Broking Limited "		DDPI	<input type="checkbox"/>
Ch. No. _____ Ch. dt.: _____ / _____ / 20_____ Amt. : _____			
Bank _____ Branch : _____			

<p style="text-align: center;">SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4</p>	MOBILE NO. +91 _____ [Mandatory, if you are giving power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option).										
<p style="text-align: center;">Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6</p>	I wish to avail the TRUST facility using the Mobile number for SMS Alert Facility. <input type="checkbox"/> Yes <input type="checkbox"/> No I have read and understood the Term and Conditions prescribed by CDSL for the same. I / We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TRUST.										
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name / ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)							
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)									
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end <input type="checkbox"/> YES <input type="checkbox"/> NO (If not marked, the default option would be 'NO')	I/We would like to receive the Annual Report Physical / Electronics / Both Physical and Electronics <input type="checkbox"/> YES <input type="checkbox"/> NO	I/We would like to share the email id with the RTA <input type="checkbox"/> YES <input type="checkbox"/> NO
---	--	---

BSDA : Yes No Opted out

' In Person' verification done by

Name of the staff : _____ **Signature** _____

For DP's use only

Received / entered / checked by :

Authorised By : _____

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUALS / HUF

(To be filled by the Depository Participant)

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

Application No. / DP Internal Reference No.	Date	D	D	M	M	Y	Y	Y	Y
DP ID	Client ID								

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

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

Name*

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

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

Guardian's Name (In case the account holder is minor) :

Relationship with the applicant	PAN						
---------------------------------	-----	--	--	--	--	--	--

I/We Instruct the DP to receive each and every credits in my/our account (If not marked, the default option would be 'YES')

(Automatic Credit)
 Yes No

Account Statement Requirement As per SEBI Regulation Daily Weekly Fortnightly Monthly

I / We request you to send Electronic Transaction-cum-Holding Statement at Email ID _____ Yes No

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

Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)	IFS Code
Account Number	
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)
Bank Name	
Bank Branch Address	

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or)
- (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. * In case of options (ii), (iii) and (iv) MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO

OTHER DETAILS (Please see guidelines overleaf)

1. Gross Annual Income Details (Please tick (✓) : Upto 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac 25 Lacs-1Cr >1Cr
Net worth _____ (*Net worth should not be older than 1 year) **as on (date)** d [] [] / m [] [] / y [] [] [] []

2. Occupation (Please tick (✓) any one and give brief details)
 Private Sector Service / Public Sector Government Service Business Professional Agriculturist
 Retired Housewife Student Others (Please specify) _____

3. Please tick, if applicable : Politically Exposed Person Related to a Politically Exposed Person (For definition of PEP, pl. refer guidelines overleaf)

4. Any other Information : _____

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

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws & 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. This 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 DDPL.

SIGNED AND DELIVERED **Pune e Stock Broking Limited**

by the withinnamed the Participant / by the hand of its authorised representative

(Authorised Signatory)

SIGNED AND DELIVERED

by the withinnamed the Beneficial Owner Rights & Obligation

1st Holder  _____

2nd Holder  _____

3rd Holder  _____

DEMAT DEBIT AND PLEDGE INSTRUCTION FOR PAY-IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT/MARGIN

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE _____ Name of the First Holder
 _____ Name of Second Holder _____ Name of Third Holder

(name of the BO) Indian inhabitant SENT GREETINGS. **Whereas** I/we hold a Beneficiary account no. **1 2 0 5 8 1 0 0** (BO-ID) with Central Depository Services (India) Limited, through **Pune e Stock Broking Limited (PeSB)** bearing DP-ID **12058100**

And Whereas I am an investor engaged in buying and selling of securities through PeSB a member of National Stock Exchange of India Ltd., bearing SEBI Registration No. INZ 000161438 & Bombay Stock Exchange Ltd. bearing SEBI Registration No. INZ 000161438, MCX Stock Exchange Ltd. bearing SEBI Registration No. INZ000161438, Multi Commodities Exchange of India Limited (MCX) bearing SEBI Registration No. INZ000161438.

And Whereas due to exigency and paucity of time, I/we am desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my behalf for a limited purpose in the manner hereinafter appearing . NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/WE THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE / AND APPOINT

PeSB as my true and lawful attorney (hereinafter referred to as the attorney) for me and on my behalf and in my name to do instruct the aforesaid Depository Participant to debit securities and /or to transfer securities from the aforesaid account for the purpose of delivering the same to the clearing house of the recognized stock exchange toward any segment in respect of securities sold by me through them by delivering the securities payin purpose of NSE, BSE, SLBM. For this Purpose Account No's are below :

NSE : 1205810000000351 NSE Pool Account. 1100001100017161 NSE Early Payin Account.
BSE : 1205810000001604 BSE Pool Account. 1205810000001619 BSE Principal Account.
 1100001000013711 BSE Early Payin Account.
SLB : 1205810000183757 SLBM Account
 Margin Pledge Securities Account 1205810000230802
 MTF TCM Pledge Account 1205810000295168

	Purpose	Signature of Client
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	
2.	Pledging/re-pledging of securities in favour of trading member(TM)/clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
4.	Tendering shares in open offers through Stock Exchange platforms	

This authority is restricted to the pay in obligations arising out of the transaction of sale effected by me through **PeSB**. The instructions given by the aforesaid Clearing Member to the Depository Participant named herein above in the manner specified herein. **PeSB** would return to me, the securities that have been received erroneously or those securities that **PeSB** was not entitled to receive from me. **PeSB** is authorized to send consolidated summary of my scrip-wise buy and sell position taken with average rates to me by way of sms/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

I/we further authorize Pune e Stock Broking Limited "(PeSB) to pledge the securities in favor of PeSB for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me / us on any recognized stock exchange through PeSB by virtue of following Client Margin pledge account as mentioned below. Client Margin Pledge Account (CMPA) No. 1205810000230802.

I/we also authorize PeSB to re-pledge such securities to the clearing member / clearing corporation as the case may be for the purpose of my / our margin requirements in connection with the trades executed by me / us on any recognized stock exchange through PeSB."

I/we further agree and confirm that the powers and authorities conferred by this Demat Debit and Pledge Instruction shall continue until I have given to the Depository Participant in writing to the contrary. This Demat Debit and Pledge Instruction is revocable at any time, without notice.

SIGNED AND DELIVERED  _____  _____  _____
 By the within named Beneficial Owner 1ST HOLDER 2ND HOLDER 3RD HOLDER

IN THE PRESENCE OF (Witness)
 Name : _____ Add. : _____ Sign. : _____
 I/we Accept _____

Pune e Stock Broking Limited
 DDPI w.e.f. ____/____/20 DDPI Reg. No. _____
 (Authorised Signatory)

1st Holder 

2nd Holder 

3rd Holder 

Declaration Form for opting out of nomination

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

To,	Date							
Pune e Stock Broking Ltd., 1198, Shukrawar Peth, Subhashnagar Lane No 3, Pune 411002	D	D	M	M	Y	Y	Y	Y
UCC								
DP ID	1	2	0	5	8	1	0	0
Client ID (Only for Demat Account)								
Sole / First Holder Name								
Second Holder Name								
Third Holder Name								
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading/demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading/demat account.								
Name and Signature of Holder(s)*								
1. _____ 2. _____ 3. _____								

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

Nomination Form

[Annexure B to SEBI circular No. SEBI / HO / MIRSD / MIRSD_RTAMB / P / CIR / 2022 / 2 3 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts Extension of timelines and relaxations for existing account holders]

To, Pune e Stock Broking Ltd., 1198, Shukrawar Peth, Subhashnagar, Lane No. 3, Pune 411002										FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																									
Date	D	D	M	M	Y	Y	Y	Y	DP ID	1	2	0	5	8	1	0	0	Client ID																	
									UCC ID																										
I / We wish to make a nomination <i>(As per details given below)</i>																																			
Nomination Details																																			
I / We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																																			
Nomination can be made upto three nominees in the account										Details of 1st Nominee					Details of 2nd Nominee					Details of 3rd Nominee															
1	Name of nominee(s) (Mr./Ms.)																																		
2	Share of each nominee		Equally <small>(If not equally, please specify percentage)</small>							%					%					%															
										<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form</i>																									
3	Relationship with the Applicant (If any)																																		
4	Address of Nominee(s) City / Place : State & Country : Pin Code :																																		
5	Mobile / Telephone No. of Nominee(s)																																		
6	Email ID of Nominee(s)																																		
7	Nominee Identification details (Please tick any one of following and provide details of same) <input type="checkbox"/> Photography & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/c No <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID																																		
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :																																			
8	Date of Birth (in case of minor nominee(s))																																		
9	Name of Guardian (Mr./Ms.) (in case of minor nominee(s))																																		
10	Address of Guardian(s) City / Place : State & Country : Pin Code :																																		
11	Mobile / Telephone No. of Guardian																																		

12	Email ID of Guardian			
13	Relationship of Guardian with Nominee			
14	Guardian Identification details (Please tick any one of following and provide details of same) <input type="checkbox"/> Photography & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/c No <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID			
Name(s) of holder(s)			Signature(s) of holder*	
Sole / First Holder (Mr. / Ms.)				
Second Holder (Mr. / Ms.)				
Third Holder (Mr. / Ms.)				

***Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature. Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)**

Note :

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

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

Name and Signature of Holder(s)*		
1. _____	2. _____	3. _____

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

To,

Pune e Stock Broking Limited

1198, Shukrawar Peth, Subhash Nagar,
Lane No. 3, Pune - 411 002.

Date : _____

HUF DECLARATION (Only for HUF A/c.)

As our **HUF** firm wishes to open Share Trading Account/Demat Account with your co in the said name

We want to say that the first signatory to this letter i.e. _____ is the Karta of the joint family and other signatories and the adult co-parceners of the said family. We further confirm that the business of the said joint family is carried on mainly by the said karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the company from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the karta, including the share of minor co-parceners. We hereby undertake to inform the company of the death or birth of a co-parceners of any change occurring at any time in the membership of our joint family during the operation of the account. So we all Adult & Minor co parceners appoint our karta to give power of attorney for paying obligation arising our of the transaction of sale effected by me through Pune e Stock Broking Limited and I/We ratify the instructions given to the aforesaid Depository Participant named herein above in the manner specified herein. I/we further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue which I/We have given to the participant.

Name of Karta _____ Sign. with stamp _____

Name & Signature of Adult Co-parceners

SR. NO.	NAME	RELATIONSHIP WITH KARTA	DATE OF BIRTH	SIGN

Name & dates of birth of Minor Co-parceners

SR. NO.	NAME	RELATIONSHIP WITH KARTA	DATE OF BIRTH	SIGN OF GUARDIAN

To,
Pune e Stock Broking Limited
1198, Shukrawar Peth, Subhash Nagar,
Lane No. 3, Pune - 411 002.

Re : Beneficial Owner (BO) Account No.

1	2	0	5	8	1	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

I/We _____

[names (s) of the BO(s)] had entered into agreement dated ____ / ____ / 201____ with you at the time of opening of the aforesaid BO account. Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledge delivery.

Yours faithfully,

 _____
1ST HOLDER

 _____
2ND HOLDER

 _____
3RD HOLDER

Email ID : _____

First Delivery Instruction Slip Book Request




Date : _____

Ref. : Client ID :

1	2	0	5	8	1	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

Name of Client : (1) _____
(2) _____
(3) _____

With reference to the above , kindly issue _____ book to me/ us or bearer of this Requisition Slip

Signature of A/c holder/s (1)  x _____
(2)  _____
(3)  _____

I/We have received DIS Book contained slip no. from _____ to _____

By Courier

(to be filled by individuals whose country of Birth is India, citizenship is India and residence for tax purposes is India and is not a US person)

FATCA / CRS Declaration Form (for individuals)

To,
Pune e Stock Broking Limited
1198, Shukrawar Peth,
Shubhash Nagar, Lane No.3,
Pune - 411002.

I hereby declare that

- My country of Birth is India, my citizenship is India, my residence for tax purposes is India
- I am not a "US person" as defined in Rule 114F of the Income Tax Rules, 1962 as amended
- I understand that Pune e Stock Broking Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. Pune e Stock Broking Limited is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I shall seek advice from professional tax advisor for any tax questions.
- I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I agree that as may be required by domestic regulators/tax authorities the Pune e Stock Broking Limited may also be required to report, reportable details to CBDT or close or suspend my account.
- I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct and complete.

Signature	x
Name	
Date	
PAN Number	

To,

Pune e Stock Broking Limited

1198, Shukrawar Peth,
Shubhash Nagar, Lane No.3,
Pune - 411002.

Subject : Self Declaration for variation in Name

I _____ adult Indian inhabitant

Residing at _____

_____ hereby state on solemn affirmation as under:

I declare that my name is _____ (on Pan Card),

_____ (On address proof/bank details)

and _____ (On TIN e-Tax Payment).

All are the one and same persons.

It is therefore requested to consider my name as on (Pan/TIN) for the purpose of opening of Demat account with PUNE E STOCK BROKING LIMITED

What is stated above is true and correct and, I shall be solely responsible for above declaration.

Thanking You,

x Client Signature

(TO BE SIGNED VOLUNTARILY BY CLIENT)

SR. NO.	CODE	CLIENT NAME

To,
Pune e Stock Broking Limited
1198, Shukrawar Peth, Shubhash Nagar, Lane No.3,
Pune - 411002.

SUBJECT : Authorization for receiving contract notes on same email id & Trade Confirmation on Mobile for our family members

This is further to authorization given by us individually to PESB for sending contract notes in electronic form instead of physical forms. Wherein we have provided an Email id i.e " _____ " & for Trade Confirmation on Mobile i.e " _____ Mobile No _____ "

We would like to confirm that we all belong to one family (self, spouse, depended children, depended parents) and would like to receive contract notes on above mail id only.

Kindly issue contract notes client wise as per Exchange rules and regulation on above email id & Mobile No. for Trade Confirmation for trades executed by all of us.

SR NO	CODE	DP ID	CLIENT NAME	RELATION	SIGN
		BO ID			
		12058100			x

To,
The Manager,
Pune e Stock Broking Limited
1198, Shukrawar Peth,
Shubhash Nagar, Lane No.3,
Pune - 411002.

Subject : Mode of operation for Demat A/c No. 12058100 _____

Dear Sir/Madam,

With above reference this is to inform you that, We have hold demat account no 12058100 _____ with you; bearing names as following

1. 1st Holder Name _____

2nd Holder Name _____

3rd Holder Name _____

and mode of operation for said demat account is _____ (Jointly (all holders) / Anyone or Survivor).

We also intimate that all electronic communication i.e. the email alerts, SMS alerts, statment of holding, transaction statement made available to First holder / All joint holders only.

1st Holder Sign **x** _____ 2nd Holder Sign **x** _____ 3rd Holder Sign **x** _____

NOTES

A series of horizontal dotted lines for writing notes.

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts form CDSL

Definitions :

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

- "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400 001 and all its branch offices and includes its successors and assigns.
- "DP" means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat account for investor.
- "BO" means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
- SMS means "Short Messaging Service"
- "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
- "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
- "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

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

Receiving Alerts :

- The depository shall sent the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
- The BO acknowledges that the alerts will be received only if the mobile phone is 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
- The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on may factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
- The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and / or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
- The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO agrees to an

ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.

- The BO agree to inform the depository and DP in writing of any unauthorised debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no revers communication between the service provider and the depository.
- The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
- The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
- If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/misuse of such information by any third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository its officials from any damages, claims, demands, proceedings, loss, cost charges and expenses whatsoever which a depository may at any time incur, sustain suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/We consent to CDSL providing to the service provider such information pertaining to account/transaction in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee/charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **Registration / modification** (Please cancel whichever is not applicable.)

BOID

1	2	0	5	8	1	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit ClientID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+ 91																		
------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write mobile number without prefixing country code or zero)

The mobile number is registered in the name of : _____

Email ID : _____

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

Sole / First Holder

Second Holder

Third Holder



Financial Planning

IPO / NFO

*Insurance

Broking

Mutual Fund

*Research

*Associate Company

Depository Services

Currency Derivative

*Commodities



PESBTM
Your trust is our capital

Pune e Stock Broking Limited

Regd. Office:

1198 Shukrawar Peth Subhash Nagar Lane No. 3 Pune 411 002

Tel: +91 20 41000600 Fax: +91 20 24498100

info@pesb.co.in www.pesb.co.in