

CLIENT REGISTRATION FORM

- . INDIVIDUAL
- . NRI
- . CORPORATE
- . PARTNERSHIP FIRM



URJA INVESTMENT PRIVATE LIMITED
Member : National Stock Exchange of India Ltd.
Bombay Stock Exchange Ltd.

Form No.:	Date of Opening KYC:	24-08-2024
Client Name:	DHARMENDER	
Client Code:	UD013	BOID: [REDACTED]
Introducer:	HO	



CLIENT REGISTRATION FORM

Trading:

Demat:

Both:

KNOW YOUR CLIENT FOR EQUITY AND DEPOSITORY INDIVIDUAL

First/Sole Holder Name **DHARMENDER**

Client Code **UD013**

Introducer Name **HO**

DP ID

BO ID

Account Opening Date **24-August-2024**

REGISTRATION FOR :

- | | | | | | |
|-------------------------------------|-------------------------|-------------------------------------|-------------------------|--------------------------|---------------|
| <input checked="" type="checkbox"/> | NSE Cash Segment | <input checked="" type="checkbox"/> | BSE Cash Segment | <input type="checkbox"/> | Demat Account |
| <input type="checkbox"/> | NSE Derivatives Segment | <input type="checkbox"/> | BSE Derivatives Segment | <input type="checkbox"/> | Mutual Fund |
| <input type="checkbox"/> | NSE Currency Segment | <input type="checkbox"/> | BSE Currency Segment | <input type="checkbox"/> | MCX Comodity |
| | | | | <input type="checkbox"/> | ALL Segment |



Regd. Office:	8, Matru Mandir Compound, 278, Tardeo Road, Mumbai-400007		
Correspondence Office:	M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001		
Ph.No.	+91 8595903054	CIN	U65990MH1989PTC050564
E-mail:	grievance@urjaglobalinvestment.com		
Web:	https://urjaglobalinvestment.com		
Compliance Officer Name:	Contact No	Email Id:	
Mr. Ajay N Jha	+91 8595903054	compliance@urjaglobalinvestment.com	
CEO Name	Phone No.	Email ID	
Mr. Shishir Kumar	+919650498414	shishirkashyap@urjaglobalinvestment.com	

KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Acceptable Documents (Copies of all documents to be self attested)

S.No	Name of the Document	Brief Significance of the Document	Please Tick
1.	PAN Card	Account Holder & Joint Holder's (if any)	<input checked="" type="checkbox"/>
2	Photograph	One Colored Passport Size Photograph	<input checked="" type="checkbox"/>
3	Additional Proof of Identity (Any One) (Pan card sign & signature in KYC form are different)	1. Unique identification number (UID) (Aadhar card)	<input checked="" type="checkbox"/>
		2. Valid Passport (Name, Address & Photo Page)	
		3. Voter id (Front & Back Page)	
		4. Valid Driving License (Name, Address & Photo Page)	
		5. Others (Pls. Specify)	
4	Proof of Address (Any One) Permanent / Correspondence	1. Unique identification number (UID) (Adhar card)	<input checked="" type="checkbox"/>
		2. Valid Passport (Name, Address & Photo Page)	
		3. Voter id (Front & Back Page)	
		4. Valid Driving License (Name, Address & Photo Page)	
		5. Banker's Verification Letter	
		6. Electricity Bill (not more than 3 month old)	
		7. Resident Landline telephone bill (not more than 3 month old)	
		8. Identity Card / Documents with address issued by Central or State Government and its Departments	
		9. Registered Lease / Leave & License Agreement	
5	Bank Proof with MICR / IFSC Code (1st Holder only)	1. Bank Statement / Passbook with Cheque leaf (Note more than 3 month old)	<input type="checkbox"/>
		2. Banker's Certificate on letter head of the bank (original)	<input type="checkbox"/>
		3. Cancelled Personalized Cheque leaf	<input type="checkbox"/>
		4. Verified With Penny Drop	<input checked="" type="checkbox"/>
6	Demat Proof (Any One) (1st Holder only)	1. Client Master (duly attested by DP)	
		2. DP Statement / Transaction Cum Holding Statement	
7	Proof of Income (Any One) (Mandatory for F&O, Currency Segment's) (1st Holder only)	1. Copy of ITR Acknowledgment	
		2. In case of salary Income - Salary Slip, Copy of form 16	
		3. Net-worth certificate (not more than 1 year old)	
		4. Copy of Demat Account Holding Statement	
		5. Bank Account Statement for last 6 months	
		6. Copy of Annual Accounts	
		7. Self Declaration with relevant supporting documents	
		8. Any other relevant documents substantiating ownership of assets	
8	For NRI Client	In case of non - resident clients, employee 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 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	

INDEX OF DOCUMENTS

Acceptable Documents (Copies of all documents to be self attested)

S.No	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE			
1	CKYC & KYC (Account Opening) Application Form	CKYC & KYC form - Document captures the basic & additional information about the constituent relevant to Trading and Demat Account including an KYC Check list	6-12
2	Instructions	Instructions / Check List For Filling KYC Form	13-14
3	Nomination Form	Nomination Form for Trading and Demat Account	24-26
4	MITC	Most Important Terms & Conditions	29-33
5	Rights & Obligations	Document Stating the Rights & Obligations of stock/ broker/trading member, authorised person and client for trading on exchange. (including additional rights & obligations in case of internet/wireless technology based trading)	28
6	Risk Disclosure Documents (RDD)	Detailing risks associated with dealing in the Securities market	33-35
7	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	35
8	Policies & Procedures	Document describing significant policies and procedures of the stock brokers	36-37
9	DP Rights & Obligations	Right and obligation of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	27
10	Trading Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) & DP charges.	23
MANDATORY DOCUMENTS FOR OPENING OF DEMAT ACCOUNT			
11	Terms & Conditions	Term & Conditions - cum - Registration / Modification Form for receiving SMS alerts from CDS	15
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER & DP			
12	Declaration	Electronic Contract Note (ECN) Declaration	21
13	Authorisation	Authorisation to Member Including Running Account	20
14	Confirmation	Confirmation of Arrangement with authorized person (AP)	16
15	DIS option Form	Option Form for issue of DIS booklet	17
16	FATCA Form	Foreign Account Tax Compliance Act (FATCA)-(CRS) Declaration Form	18
17	Acknowledgment	Acknowledgement receipt for the various document	19
18	POA/DDPI	Power Of Attorney/ Demat Debit and Pledge Instruction	22
IMPORTANT INSTRUCTION			
1	Email Id & Mobile number is mandatory		
2	Details of the applicant provided in the KYC form must match with the documentary proof submitted i.e. Name, Address and DOB		

NAME OF STOCK BROKER / TRADING MEMBER :Urja Investment Private Limited

Registered Office Address	8, Matru Mandir Compound, 278, Tardeo Road, Mumbai-400007
Correspondence Office Address	M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001
Contact Details	Ph.: +91 8595903054. Website:https://urjaglobalinvestment.com
Compliance Officer Name,	Name : Mr. Ajay N Jha, Mob No.: +91 8595903054 & Email -compliance@urjaglobalinvestment.com

Registration Details

Exchange	Segment	TM ID
NSE	CM,FNO,	06961
BSE	CM,	3126

Single SEBI Registration No: INZ000266734 Dt : March,23 2018 (Stock Broker)

Stock Broker: Urja Investment Private Limited (UIPL) : M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001

Phone: +91 8595903054 **Email ID:** grievance@urjaglobalinvestment.com

SEBI Reg No.: INZ000266734

Compliance Officer: Mr. Ajay N Jha, **Phone:** +91 8595903054, **Email ID** : compliance@urjaglobalinvestment.com

CEO: Mr. Shishir Kumar, **Phone:** +91 9650498414, **Email ID:** shishirkashyap@urjaglobalinvestment.com

Contact for any Grievance/Dispute: For any grievance/dispute please contact Urja Investment Private Limited (UIPL) at the above address or E-Mail ID- compliance@urjaglobalinvestment.com (for trading) Phone: 8595903054. In case not satisfied with the response, please contact the concerned exchange(s) Investor Grievance Cells at National Stock Exchange of India Limited(NSE), ignse@nse.co.in or 1800 266 0058; BSE Limited(BSE), is@bseindia.com or 022-2272 8138

	CDSL	NDSL	NSE	BSE
Email ID	complaints@cdslindia.com	relations@nsdl.com	ignse@nse.co.in	is@bseindia.com
Phone No.	1800-22-5533	+912248867000	1800-266-0050	+912222728016

Further, the above documents is also made available in vernacular languages, you may download from our website : <http://www.urjaglobalinvestment.com/downloads/mandatory>

NSE Website Link: https://www.nseindia.com/membership/content/complinc_trading_mem.htm or

KNOW YOUR CLIENT (KYC) INDIVIDUAL APPLICATION FORM FOR OPENING TRADING & DEMAT ACCOUNT



Application Type NEW KYC Modification/Update KYC

Please fill this form in ENGLISH and in **BLOCK LETTERS (To be filled by the Applicant)**

I / We request you to open a Demat and Trading Account in my / our Name(s) as per the following details :

KYC Mode: Online KYC Digi locker

Name *	[REDACTED]	[REDACTED]
Maiden Name	[REDACTED]	
Father/Spouse Name*	[REDACTED]	
Mother Name*	[REDACTED]	
DOB/DOI*	[REDACTED]	
Gender*	Male	
Marital Status*	Married	
Nationality*	Indian	
Residential Status*	Resident Individual	[REDACTED]
Occupation*	Private Sector	[REDACTED]

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

Document Name	Aadhaar Card	Aadhar No.	[REDACTED]	Expiry Date
Document Name	PAN Card	PAN No.	[REDACTED]	Expiry Date

ADDRESS DETAIL* (Please see instruction D at the end)

Address Type* :	Correspondence Address	Address Proof* :	Aadhaar	Ref. No.	
Address* :	[REDACTED]				
City :	[REDACTED]	District :	South Delhi	State :	Delhi
PIN :	[REDACTED]	Country :	India		
Address Type* :	Permanent Address	Address Proof* :	Aadhaar	Ref. No.	
Address* :	[REDACTED]				
City :	South Delhi	District :	South Delhi	State :	Delhi
PIN :	[REDACTED]	Country :	India		

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

Mobile	[REDACTED]	Email ID	[REDACTED]
Other Contact			

Application 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 24-Aug-2024

Place South Delhi

[Signature / Thumb Impression]

FOR OFFICE USE ONLY

Urja Investment Private Limited (UIPL)			
<input checked="" type="checkbox"/>	(Originals verified) True copies of documents received	<input checked="" type="checkbox"/>	IPV Done On 24-August-2024
	(Self-Attested) Self Certified Document Copies received		
Name	Pooja		
Designation	Operation Manager		
Place	New Delhi	Date	24-August-2024

TRADING & DEMAT ACCOUNT RELATED ADDITIONAL DETAILS

Type of Account **Individual**

BANK ACCOUNT DETAIL (For payout funds through NEFT/RTGS)- (Dividend Bank details)

Account Type	Saving Account	MICR	[REDACTED]	IFSC	C [REDACTED]
Bank Account No	[REDACTED]				
Bank Name	[REDACTED]				
Bank Address Detail	[REDACTED]				

Note : Provide a Copy of cancelled cheque leaf / pass book / bank statement specifying name and address of the client, MICR Code or/and IFSC Code of the bank.

DEPOSITORY ACCOUNT

Beneficiary Name	DP Name	DP ID	BO ID
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

NOTE :- Please Provide copy of Demat Client Master or a recent holding statement issued by DP

Account to be opened through Demat Debit and Pledge Instruction / Power of Attorney (DDPI / Account to be opened through Demat Debit and Pledge Instruction / Power of Attorney (DDPI/ POA) Yes No

Clearing Member details (to be filled by clearing members DEMAT Account)

1.Name of Stock Exchange		2.Name of Clg. Corpn. /Clg. House	
3.Clearing Member Id		4. SEBI Regn. No.	
5.Trade Name			
6.CM-BP ID (To be filled by DP)		7.TM ID (To be filled by DP)	

TRADING PREFERENCES

Please Sign the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE		
All Segments	Cash/Mutual Fund	F&O	
Signature	[REDACTED]		

If you do not wish to trade in any of segments / Mutual Fund, Please mention here _____

DEALING THROUGH AUTHORISED PERSON (AP) AND OTHER STOCK BROKERS

If client is dealing through the Authorised Person, provide the following details:	<input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
AP Name	AP Registration number
Registered office address:	
Whether dealing with any other stock broker/AP (if case dealing with multiple stocks, provide details of all)	
Name of stock broker :	Name of AP, (if Any) :
Client Code :	Exchange:
Details of disputes/dues pending from/to such stock broker/AP :	

INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002

FINANCIAL & OCCUPATION DETAILS			
Income Range per annum	Between Rs. 1 to 5 Lac	Annual Income Date	23-August-2024
Occupation	Private Sector	Prior Experience	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Number of Years of Investment/Trading Experience	06		
	No. of Years in other investment related fields	0	
Is the client politically Exposed Person (PEP) or Related to a PEP(RPEP)			
<input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input checked="" type="checkbox"/> Not a PEP / RPEP Any Other Information _____			
Financial proof for F&O			
Net worth	Net worth date		

GST REGISTRATION DETAILS (As applicable, State wise)


GST Registration No.			
Validity Date			
Client Category	<input type="checkbox"/> Farmers/FPOs	<input type="checkbox"/> Value Chain Participants (VCPs)	<input type="checkbox"/> Proprietary traders
Commercial Participant	<input type="checkbox"/> Domestic Financial Institutional Investors	<input type="checkbox"/> Foreign Participants	<input type="checkbox"/> Others
Noncommercial Participant			

STANDING INSTRUCTIONS / OTHER DETAILS / EMAIL-SMS ALERT / CONTRACT NOTE PREFERENCE

Contract Note / Holding & Transaction Statement including CAS / Other Documents.*	<input checked="" type="checkbox"/> Electronic	<input type="checkbox"/> Physical
Share Email ID with Registrar & Transfer Agent	<input type="checkbox"/> NO	<input checked="" type="checkbox"/> YES
Receive Annual Statement	<input checked="" type="checkbox"/> Electronic	<input type="checkbox"/> Physical Both
DP Account Statement	<input type="checkbox"/> Monthly <input type="checkbox"/> Weekly	<input type="checkbox"/> Fortnightly <input checked="" type="checkbox"/> As Per SEBI Regulation
Declaration for Mobile Number (If Same Mobile Number used in spouse, child and / or Parent. Please sign)	<input checked="" type="checkbox"/> Self <input type="checkbox"/> Child	<input type="checkbox"/> Spouse <input type="checkbox"/> Parents
Declaration for Email ID (If Same Email ID used in spouse, child and / or Parent. Please sign Separate declaration form. Download from https://www.urjaglobalinvestment.com/)	<input checked="" type="checkbox"/> Self <input type="checkbox"/> Child	<input type="checkbox"/> Spouse <input type="checkbox"/> Parents
Running Account Settlement	<input type="checkbox"/> Monthly	<input checked="" type="checkbox"/> Quarterly
Whether you wish to avail of the facility of internet trading / wireless technology (Please Specify)	<input type="checkbox"/> NO	<input checked="" type="checkbox"/> YES
Whether you wish to avail BSDA Facility	<input checked="" type="checkbox"/> NO	<input type="checkbox"/> YES
Standard set of documents & Welcome kit	<input checked="" type="checkbox"/> Electronic	<input type="checkbox"/> Physical
I/We instruct the DP to receive each and every credit in my/ our account (If not marked, the default option would be 'Yes')	<input type="checkbox"/> NO	<input checked="" type="checkbox"/> YES
I/We wish to receive dividend/interest directly in to my bank account as given in this form through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for location notified by SEBI from time to time]	<input type="checkbox"/> NO	<input checked="" type="checkbox"/> YES
I/We request you to sent me/us Digitally Signed Documents & Reports as per IT Act 2000 for Trading & Demat Account	<input type="checkbox"/> NO	<input checked="" type="checkbox"/> YES
I/We would like to instruct the DP accept all the pledge instructions in my/our account without any other further instruction from my / our end (if not marked, the default option would be 'No')	<input type="checkbox"/> NO	<input checked="" type="checkbox"/> YES
I/We would like to receive the Annual report	<input type="checkbox"/> Physical	<input checked="" type="checkbox"/> Electronic
	<input type="checkbox"/> Both	<input type="checkbox"/> Physical and Electronic
Electronic (Tick the applicable box, If not marked the default option would be in physical)		
For Commodity Transaction:	Purpose of Trading: <input checked="" type="checkbox"/> Speculation <input checked="" type="checkbox"/> Hedging <input type="checkbox"/> Day Trading <input type="checkbox"/> Jobbing/Arbitrage	
	Nature of Business Relationship: <input checked="" type="checkbox"/> Speculative <input checked="" type="checkbox"/> Hedger <input checked="" type="checkbox"/> Day Trader <input checked="" type="checkbox"/> Jobber/Arbitrager	

Easi :- To register for Easi, please visit our website www.ndml.in Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

SMS Alert Facility (Refer to Terms & Conditions given as Annexure 'A')

Mobile N 
(If POA is not granted and you do not wish to avail of this facility, cancel this option)

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name :- DHARMENDER

	First/sole Holder			
Are you U.S. Person? (Refer KYC - Customer copy)	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
Specify country of residence for tax purpose (Tax residency)	<input checked="" type="checkbox"/>	INDIA	<input type="checkbox"/>	OTHER
Specify country of citizenship	<input checked="" type="checkbox"/>	INDIA	<input type="checkbox"/>	OTHER

Note:- if you are U.S. Person and/or if your tax residency/nationality/citizenship is other than India, then please provide declaration/self certification under FATCA/CRS. This declaration form can be downloaded from www.miraclesfintech.com or call at helpdesk at +91 79 69038171/72.



First/Sole Holder

PAST ACTIONS

Details of any action / proceeding initiated / pending / taken by SEBI / Exchanges / any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized person in change of dealing in securities during the last 3 years:

NO

If Yes Please Specify:

Note:

1. Dividend / Interest will be credited to bank, account via ECS.
2. In case client doesn't opt for DIS booklet, it would be issued on request at any later date
3. *Other documents include SEBI prescribed standard documents. i.e. Rights & Obligation documents for trading and depository account, Risk Disclosure Document and Guidance Note or any other communication/ document disseminated by UIPL
4. UIPL may carry out proprietary trades in addition to client trades.

I. INTRODUCER DETAILS

Name of Introducer	
Status of Introducer	
Address	
Mobile No.	Email ID
Signature of Introducer	

I/We have received and read the Rights and Obligation document of BO-DP including schedules thereto and terms & condition and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP & Trading Member any change(s) in the details/particulars mentioned by me/us in the form. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

DECLARATION

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

2. I/We confirm having read/been explained and understood the contents of the documents 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.and 'Document'. and 'Do's and Don't's.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: <https://urjaglobalinvestment.com>

BO Details	Sole / First Holder
Name	
Signature	

Note Signature should be preferably in black ink

Place New Delhi

Date 24-August-2024

FOR OFFICE / AP USE ONLY

Application & DP Internal Reference No.		Date
DP ID	Client ID	Trading Code
<input type="checkbox"/> (Originals verified) True copies of documents received		<input type="checkbox"/> (Self-Attested) Self Certified Documents copies received
UCC/UCI Code	Authorized Person	
Designation	Emp./AP Code	
Place	Date	

I/We undertake that I/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' documents (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 'Right and Obligations' and RDD would be made available on my/our website: <https://urjaglobalinvestment.com> in for the information of the clients.

(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 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-resident 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 of 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 individual who are or have been entrusted with prominent public function in a foreign country, e.g., Head of states or of Governments, senior politicians, senior Government/Judicial/military officers, senior executives of state owned corporations, important political party official, etc.

(B) PROOF OF IDENTITY (POI) : List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
2. PAN card with photograph. This is a mandatory requirement for all applicants excepts those who are specifically exempt from obtaining PAN (listed in Section D).
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 Undertaking, 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 Bank.
4. If driving license number or passport is provided as proof of identity then expiry date is to be mandatory furnished.
5. Mention identification / reference number if 'Z - Others (any document notified by the central government)' is ticked.

(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 month 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 Mangers of Scheduled Commercial Banks/ Scheduled Co-Operative Bank/Multination Foreign Bank/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 Undertaking, 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 FM/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that given 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 return in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFS, VCFs, FVCLs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporation, 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 county where the client resides are permitted to attest the documents.

Application 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

Place South Delhi

Date 24-August-2024

CKYC CONSENT FORM

Dear Sir/Madam

I, [REDACTED], give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

Signature:

Date 24-August-2024

CONSENT TO AUTHORISATION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)

I/We [REDACTED] am/are regularly trading with Cash, Derivatives, Currency Segments of BSE, NSE,MCX exchange bearing UCC Code [REDACTED] & Demat Account No [REDACTED] order to facilitate smoother and faster operation, I am/ we are agree with following terms & conditions and hereby authorizing you to do following on my/our behalf

1. I/We hereby give my/our consent to maintain my/our account for fund as RUNNING ACCOUNT. Funds lying in my/our a/c should be considered as margin deposits.
2. I am/we are requesting you to keep my/our Securities, Margin and funds with you to meet my / our pay in obligation in the succeeding settlements in the same segment as well as in other segments of the Exchanges.
3. Considering practical difficulties I/we authorized you to accept telephonic instruction for my/our order placing, modification, cancellation of order as a written instruction and give all the confirmation on telephone. You are authorized to record all the telephonic conversation through voice logging system. I/we also agree that I/we have no objection whatsoever the Member using the said recording to settle any dispute arising. Also I/We have no objection whatsoever in receiving SMS on my/our registered mobile from Member
4. You can charge demat transaction charges for transferring securities for pay-in obligation, Inter settlement, Margin & withhold securities payout transaction on my/our behalf.
5. You can adjust any amounts receivable from me/us including demat charges & DP Bill against any credits standing into my/our account or from my/our forthcoming pay-outs payable to me/us.
6. The actual settlement of funds shall be done by you on Monthly/ Quarterly intervals.
7. As per SEBI Circular ref. no. SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated on June 16, 2021, I/we authorise you to return unutilized fund to my/our bank account , if I/we having credit balance, have not done any transaction in the 30 calendar day since the last transaction within next 3 working day irrespective of date when the running account was previously settled.
8. You will transfer my/our funds lying with you within one working day of my/our written request.
9. You will send monthly/quartly digitally signed statements of funds & securities, Digitally Sign daily ECN, daily margin statement, ledger, collateral statement, STT statements, DP statement of transaction & holding, DP ledger and other statutory document in digital in digital mode as per NSE, SEBI & other regulatory guideline including IT Act, 2000 by email and I/We shall bring any discrepancy therin , if any, in your notice within 30 days from the receipt of the same.
10. I/We authorised you to debit my/our depository service charges(DP Bill)to my/our trading account.
11. This authorization will continue until it is revoked by me/us & I/We may revoke this authorization at any time by giving written notice to you
12. The authorization shall be signed by me/us only and not by any power of attorney holder or by any authorized person on my/our behalf

Signature of Client

Date 24-08-2024

[REDACTED]

Authentication to Debit Demat Charges from my Ledger

I authorised Urja Investment Private Limited to debit Demat (AC no) [REDACTED] charges from my trading a/c (UCC NO) UD013 Ledger as and when occurred and should clear my demat debit ledger .

Signature of Client

[REDACTED]

CONFIRMATION OF THE ARRANGEMENT WITH AUTHORIZED PERSON (AP)

To,
Urja Investment Private Limited
M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001

Date 24-August-2024

- Dear sir,
- I/We confirm that I/We have been introduced to Urja Investment Private Limited (UIPL) as its Client by the within mentioned Authorized Person (AP) appointed by UIPL in terms of the relevant Regulation of the Exchanges In this connection, I/We state and confirm that we are aware of the following :
1. That the AP is not authorized by UIPL or under the Bye-laws, Rules and Regulations of the Exchange to enter into any separate private agreements with me/us in connection with any transactions in the securities market.
 2. That the AP is prohibited from making any offers or operating any scheme of guaranteed or fixed returns on investments made in the securities market.
 3. That the AP is not authorized to receive payments of money or securities in his/its own name or account.
 4. That all Payments of funds & securities in respect of my/our Trading A/c /Demat A/c shall be made to and/or received from UIPL only.
 5. That all statement of accounts and documents related to my/our transactions shall be received from UIPL only and not from my AP who is not authorized to issue any such statements/accounts.
 6. That the AP is not authorized to charge and receive from me/us any fee, commission, share of profit, or any consideration for the services he/she/it renders.
 7. That I/We should not leave Delivery instruction Slips (DIS) issued by UIPL pre-signed or unsigned, in the custody of my AP

In view of the above, I/We agree and confirm that I/We shall not hold UIPL liable for any loss, damage, loss of profit, or other consequences, \whether direct or indirect, arising from my/our failure to act in accordance with or anything done by me/us in contravention of the requirements of the above express understanding.

Your faithfully,



Client Signature

AP Name _____

Signature of AP _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

To,
Urja Investment Private Limited
M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001Ahmedabad - 380006. Gujarat.

I/We hereby state that: (Mandatory to select any one option given below)

OPTION 1:



I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I / we have issued a Power of Attorney (POA)/ Demat Debit Pledge Instructions (DDPI)/ registered for eDIS /executed PMS agreement in favour of/ with Urja Investments Private Limited. effected through such DDPI/POA Holder - Clearing Member/ by PMS Manager/ for executing delivery instructions through eDIS

OR

OPTION 2:

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA/ Demat Debit and Pledge Instructions (DDPI)/ registered for eDIS/ executed delivery instructions for setting stock exchange trades (settlement related transactions) favor of Urja Investment Private Limited However, the Delivery Instruction Slip (DIS) booklet should be issued to me /us immediately on my / our request at any later date.

Your faithfully

	Name	Signature
Sole/First Holder		

FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) - (CRS) DECLARATION FORM

[Mandatory for all investors (Guardian in case of minor) and Joint Holder (s)]

To,
The Compliance Officer
Urja Investments Private Limited
M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001

APPLICANT'S INFORMATION

Trading A/c No. 

Demat A/c No 

Is your Country of Tax Residency other than India - YES NO

If 'Yes', Please specify the details of all countries where you hold tax residency and its Tax Identification Number & type.

S.No	Country of Tax Residency#	Foreign Address	Tax Payer Identification Number / Functional Equivalent	Identification Type(TIN or other, please
1				
2				
3				

to include all countries other than India, where investors is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

DECLARATION & SIGNATURE(S)(To be signed as per mode of holding)

Client agree to provide the trading member and/or depository participant with any documentation or information request relation to individual or entity tax status. To the extent required by the trading member and/or depository participant, client here by consents to the disclosure and reporting of any tax related information obtained or held by the trading member and/or depository participant to any local or foreign regulatory or tax authority ("Tax Authority") Upon request by the trading member and/or depository participant, client here by agrees to obtain a written waiver or consent from the entity's substantial owners or controlling persons and to provide those consents to the trading member and/or depository participant to permit to disclose and report tax and account specific financial information to any local or foreign Tax authority . The terms substantial owners and controlling persons shall have the meaning as defined under local or foreign tax laws, regulatory guidance or inter-governmental co operation agreements. The potential consequences for failure to comply with requisites for tax information, failure to respond to requests for waives or consents for tax information disclosure and/or failure to respond to requests to obtain waives or consents from substantial owners or controlling persons, include, but are not limited to: (a) trading member and/or depository participant has the right to carryout actions which are necessary to comply with the local or foreign tax reporting obligations; (b) trading member and/or depository participant has the ability to with hold taxes that may be due from certain payments made to the client's account, (c) trading member and/or depository participant has the right to pay relevant taxes to the appropriate tax authority; (d) trading member and/or depository participant has the right or refuse to provide certain services, and (e) trading member and/or depository participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from , the trading member and/or depository participant, if there are any changes to tax information previously provided

DHARMENDER



First Holder

Place South Delhi

Date 24-August-2024



To,
Urja Investments Private Limited
M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001

UCC Code :

Demat ID

Sub: Acknowledgment receipt for the various documents.

1. I/We am/are desirous of opening the trading (for Equity and/or Commodity) and/or depository account with Urja Investment Private Limited and I/We am in the process of executing client registration documents relating to the opening of trading and demat account.

2. I/We have furnished all the details required in the KYC form as per SEBI /Exchange / Depository requirements. I/We confirm having read/been explained and understood the contents of the KYC documents which are provided to me/us in separate booklet. The KYC document booklet includes the following:-

- a) Instructions and Checklist for filling the KYC, Ckyc form and FATCA.
- b) Information on Anti money Laundering & PMLA.
- c) Rights and Obligations of the parties relating to Trading account (Including internet and wireless technology based trading) prescribed by SEBI and Stock.
- d) Exchanges and Rights and Obligations between Beneficiary Owner and Depository Participant.
- e) Uniform Risk Disclosure Document (RDD) prescribed by SEBI and Stock Exchanges, including guidance note and Do's and Don'ts for clients.
- f) Policies and Procedures (under paragraph 8 of SEBI Circular No: MIRSD/SECIR-19/2009 dated December 3, 2009).
- g) Additional terms and conditions (for Equity and/or Commodity) - (Voluntary Document).
- h) Terms And Conditions-for receiving SMS Alerts from CDSL.
- i) General Information for both Trading and Demat account.
- j) Nomination Form

3. I/We understand that the KYC document booklet is in accordance of the exchanges and/or SEBI/DP requirements applicable for opening trading/DP account. I/We understand and agree that any amendment/modifications as required by the exchanges/DP and/or regulators will be applicable to me at all point of time and changes if any in future will be intimated to me/us.

4. We have received the booklet with above mentioned contents. I/We also confirm having read/been explained and understood the contents of the documents on policy and procedures of the stock broker and their Terms & Conditions in the booklet.

Noting your website (i.e. <https://urjaglobalinvestment.com>) for all communication that you as a stock broker & DP give to your clients including various policies and procedures as updated from time to time.

Your faithfully

BO Details	Sole / First Holder
Name	
Sign	

STANDING INSTRUCTIONS / AUTHORIZATION LETTER

Sub : Standing Instructions / Authorization Letter

I/We have been / shall be dealing through you as my broker on the Capital Market and/or Futures & Options Segments / Currency Derivatives / Commodity Derivatives Segments. As my broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my/our behalf from telephone/mobile calls made by me and/or through instructions emailed by me as per instructions given below

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.

You have discounted to me/us that you undertake proprietary trading.

(The client hereby authorized Urja Investment Private Limited to maintain records/books of accounts for the client collectively for different exchange / segments of the exchanges

Thanking you
Yours faithfully

Date 24-08-2024



[Client Signature / Thumb Impression]

VERBAL ORDER ACCEPTANCE AUTHORIZATION

Sub : Verbal Order Acceptance Authorization

I/We have been / shall be dealing through as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments / Currency Derivative Segment. As my broker i.e. agent I/we direct and authorize you to carry out trading / dealings on my/our behalf from telephone/mobile calls made by me and/or through instructions emailed by me as per instructions given below

I/We agree and acknowledge the it is advised and preferred you that I/We given instructions for order placement/modification and cancelation in writing and to avoid disputes, I/we must given instructions in exactly the format given below in duplicate (carbon copy/ photocopy) and take signatures of your duly authorized officers at the branch along with your company stamp on the carbon/photocopy of the instructions in acknowledgement of receipt of my/our instructions. However as I/we shall be dealing by ordering over phone and even if

I/we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation. I/We hereby authorize you to accept my / my authorized representative's verbal instructions for order placement/ modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/we understand the risk associated with verbal orders and accept the same, and agree that I/we shall not be entitled to disown orders and consequent trades (if any)

under the plea that same were not undermine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking You
Yours Faithfully

Date 24-August-2024



[Signature / Thumb Impression]

Place : South Delhi

Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.

2. Signatures should be preferably in black ink.

3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate/ Special Executive Officer are to be provided in case of attestation done by them.

4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.

5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self certified copy thereof, must be lodged along with the application.

6. All correspondence / queries shall be addressed to the first / sole applicant.

7. Strike off whichever option, in the account opening form, is not applicable.

Dear Sir/Ma'am

I/We understand that I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form as well as all other communications including account statement, holding statement, trade, order confirmations and any other notices also electronically.

I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account on your record for sending the contract notes and other communications to me/us.

1. Email id : 

2. Alternate Email id:

I/We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail id.


Please treat this authorisation as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We agree to inform you any change in my email in future either in physical mode by regd. post or by hand delivery or through an email from my email id registered with you.

Thanking You.
Yours Faithfully,

Client Name: 
Client Code: 

Date: 24-August-2024



[Signature / Thumb Impression]

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) IN FAVOUR OF URJA INVESTMENT PRIVATE LIMITED (VOLUNTARY)

To all whom these presents shall come I/We Mr./Mrs./M/s _____ (First Holder)
 _____ (Secod Holder) _____ (Third Holder)

an individual/a sole proprietary concern/a partnership firm/a body corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act 1956, or any relevant Act, having my/our residence/registered office/ place of business at

_____ send greetings.

Whereas We hold a Beneficiary Account no. _____ (BO-ID) with Central Depository Services (India) Limited

(CDSL/NSDL) through Depository Participant URJA INVESTMENTS PRIVATE LIMITED bearing DP ID- _____, Where as I am an investor engaged in buying and selling of securities through URJA INVESTMENT PRIVATE LIMITED (a member) of National Stock Exchange of India Limited, Multi Commodity Exchange of India Limited, Bombay Stock Exchange Limited; bearing SEBI registration No. INZ000266734

Further due to exigency and paucity of time, I/We am/are desirous of giving my/our consent for Demat Debit and Pledge Instruction (DDPI) to operate the aforesaid beneficiary account on my/our behalf for a limited purpose in the manner hereinafter appearing.

I/We further agree and confirm that the consent given by me / us by this DDPI shall continue until it is revoked (without notice) in writing by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock & commodity broker in his office at : M-132, Inner Circle, 2nd Floor, Connaught Place, New Delhi-110001.

Sr. No.	Purpose	Signature Of the Client*		
		First Holder / Solo Holder	Second Holder	Third Holder
1	Transfer of securities held in my / our beneficial owner account towards Stock Exchange related deliveries / settlement obligation arising out of trades executed by me / us on the Stock Exchange through Miracles Fin-tech Private Limited.			
2	Pledging / Re-Pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements in connection with the trades executed on the Stock Exchange .			
3	Mutual Fund transactions being executed on Stock Exchange Order Entry Platform.			
4	Tendering Shares in open Offers through Stock Exchange			

*The Same may be E-Signed or Signed physically.

Urja Investment Private Limited

EQUITY TRADING TARIFF SHEET

Cash Segment	Trading				
	% of Turnover	Minimum	Brokerage Slab	% of Turnover	Minimum
Equity Delivery	0.50	0.05	Equity Normal	0.05	0.05
Equity Option	0.00	0.00	Equity Futures	0.00	0.00

Note:

- Second leg-if squared off on the same day.
- SEBI Turnover Fees, CTT, Goods & Service Tax (GST), Stamp Duty, Transaction Charges and other statutory charges will be levied separately from brokerage as applicable from time to time.
- Delivery related charges i.e. Delivery Charges, Warehouse Charges, Vault Charges etc. will be levied separately as per guidelines.
- All Charges levied by Exchange(s) / Regulator(s) will be recovered from your account as applicable.
- In addition to above, Charges levied on account of Cheque Return, Wrong Reporting of Cheque, Issue of Duplicate Statement, Interest Charges etc. may be recovered from your account as applicable.
- Additional charges with regards to software access, etc. will be applicable as per the terms agreed at the relevant point in the time.
- Any change to above shall be intimated separately.





First Holder Signature



Urja Investment Private Limited

Depository Participant: Central Depository Services (I) Ltd. SEBI Reg.No. INZ000266734
Regd.Off: M-132, Inner Circle, 2nd Floor, Connaught Place, New Delhi - 110001
Tel: +91 8595903054, E-mail: grievance@urjaglobalinvestment.com

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 : - URJA INVESTMENT PRIVATE LIMITED		Date :- 24-August-2024
Trading Member/Participant's Name	Urja Investment Private Limited	
Trading Member/Participant's Address	Urja Investment Private Limited M-132, Inner Circle, 2nd Floor, Connaught Place, Delhi- 110001.	
UCC		
DP ID		
Client ID (only for Demat account)		
Sole/First Holder Name		
<p>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.</p>		
<p style="text-align: center;">Name and Signature of Holder(s)*</p> 		

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

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

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

To,
 Urja Investment Private Limited
 M-132, Inner Circle, 2nd Floor, Connaught
 Place, New Delhi - 110001.

Date: 08/24/2024

DP ID	
Client ID:	

Dear Sir,

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

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person (s) who shall receive all the assets
 Id 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 the nominee(s) (Mr./Ms.)			
2	Share of each nominee Equity (If not equally, please specify percentage) ..	%	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form		
3	Relationship with the applicant (if any)			
4	Address of Nominee(s)			
		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 and provide details of same) Photograph & Signature PAN AADHAR SAVING BANK A/C PROOF OF IDENTITY DEMAT ACCOUNT ID			
Sr # 8 - 14 should be filled only if nominee(s) is/are a minor:				
8	Date of Birth (in case of minor nominee)			
9	Name of Guardian (Mr/Mrs) (in case of minor nominee)			

10	Address of Guardian(s)			
	City / Place			
	State			
	Country			
	PIN Code			
11	Mobile / Telephone No. of Guardian(s) #			
12	Email ID of guardian(s) #			
13	Relationship of Guardian with nominee			
14	Guardian Identification details (Please tick any one and provide details of same) # Photograph & Signature PAN AADHAR SAVING BANK A/C PROOF OF IDENTITY DEMAT ACCOUNT ID			
		Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr/Mrs)				

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature.
 Note:Residual Securities : in case of multiple nominees, remaining after distribution of securities as per percentage allocation shall be transferred to the first nominee.

#Optional Fields(Information required at Serial nos. 5,6,7,11,12&14 is not mandatory).

Dear Sir,
 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.

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

Annexure A

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.



General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time. Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close

his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document. "I/we acknowledge the receipt of copy of the document, "Rights

Annexure - 4 : RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORISED PERSONS AND CLIENTS

as prescribed by SEBI , Stock Exchanges, and Commodity Exchanges

1. The client shall invest/trade in those securities /commodities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/Securities/commodities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.

2. The member, 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 member to deal in securities/commodities and/or deal in derivatives contracts and wishes to execute its orders through the member and the client shall from time to time continue to satisfy itself of such capability of the member before executing orders through the member.

4. The member 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 member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the member acts.

6. Requirements of professional diligence

a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.

b. "professional diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with honest market practice;

ii. the principle of good faith;

iii. level of knowledge, experience and expertise of the Client;

iv. the nature and degree of risk embodied in the financial product* or financial service being availed by the Client; and

v. the extent of dependence of the Client on the Member.

*Commodity derivative contract

7. The authorised person shall provide necessary assistance and co-operate with the member in all its dealings with the client(s).

CLIENT INFORMATION

8. The client shall furnish all such details in full as are required by the member in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.

9. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the member shall be non-mandatory, as per terms & conditions accepted by the client.

10. The client shall immediately notify the member 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 member on a periodic basis.

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 nonoccurrence of any particular event.

11. The member 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 member may so disclose information about his client to any person or authority with the express permission of the client.

12.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.

12. 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.

c. 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 transactional 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 features, 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. rights 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 member 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 member is permitted in its sole and absolute

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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 commodities derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

18. The Member 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 commodity exchange where the trade is executed.

19. The Member shall ensure that the money 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 Member for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, circulars, notices, guidelines of SEBI and/or Rules, Business Rules, 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, Member 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 Business Rules 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 Business Rules of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Business Rules of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

22. The Client shall pay to the member 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 member renders to the Client. The member 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

22. Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the client understands that the member shall be entitled to liquidate/close out all or any of the client's positions for nonpayment 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.

23. 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/commodities which the client has ordered to be bought or sold, member 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/commodities in favor of a Nominee shall be valid discharge by the member against the legal heir.

24. The member 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 member to the relevant Exchange(s).

DISPUTE RESOLUTION

25. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.

26. The client and the Member shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Business Rules of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

27. The client/Member understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Member shall be binding on the client/Member in accordance with the letter authorizing the said representative to deal on behalf of the said client/Member.

28. Requirement for each Member to have an effective grievance redress mechanism which is accessible to all its Clients

a. A Member must have in place an effective mechanism to receive and redress complaints from its Clients in relation to financial products or financial services provided by it, or on its behalf, in a prompt and fair manner.

b. A Member must inform a Client, at the commencement of relationship with the Client and at such other time when the information is likely to be required by the Client, of -

- i. the Client's right to seek redress for any complaints; and
- ii. the processes followed by the Member to receive and redress complaints from its Clients.

29. A. Suitability of advice for the Client

Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Client's financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.

a. A Member must -

- i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and
- ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.

b. If it is reasonably apparent to the Member that the available information regarding the relevant personal circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.

c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member -

- i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and
- ii. may provide the financial product or financial service requested by the Client only after complying with point 29.A.a and obtaining a written acknowledgement from the Client.

30. Dealing with conflict of interest

In case of any conflict between the interests of a Client and that of the Member, preference must be given to the Client interests.

a. A member must -

- i. provide a Client with information regarding any conflict of interests,

including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and

- ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between -

1. its own interests and the interests of the Client; or
2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative.

b. The information under point 16a.i. must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgement of the receipt of the information should be obtained from the Client.

c. In this section, "conflicted remuneration" means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

TERMINATION OF RELATIONSHIP

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

32. The Member, Authorized Person 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 Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorized Person by the commodity exchange and/or termination of the agreement with the Authorized Person by the Member, 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 Member and all clauses in the 'Rights and Obligations' document(s) governing the Member, Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

35. The member 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/commodities.

36. 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.

36. 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.

37. 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.

38. 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 Member.

39. 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/commodities etc.

40. 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.

41. 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.

42. 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.

42. 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 a 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.

42. C.

a. A conduct 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 undue 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 rights 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)

43. 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.

44. 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.

45. 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.

46. The Member 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/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.

47. 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.

48. 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.

49. 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

50. In addition to the specific rights set out in this document, the Member, Member 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 thereunder or Rules of SEBI.

51. 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.

52. 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.

53. 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.

54. 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.

55. 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.

56. Members are required to send account statement to their clients every month

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS 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. Member 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 member 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 Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

3. The member 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 member.

4. The member shall make the client aware that the Member'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 Member'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 member

6. The Client shall immediately notify the Member in writing if he forgets his

password, discovers security flaw in Member'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 member 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 member 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 Member and the Exchange do not make any representation or warranty that the Member'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 Member on account of any suspension, interruption, non-availability or malfunctioning of the Member'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/Members/Exchange end for any reason beyond the control of the member/Exchange.

Annexure-2 RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET, DERIVATIVES AND COMMODITY DERIVATIVES SEGMENTS

The Exchange does not expressly or impliedly, guarantees nor makes any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange endorsed or passed any merits of participating in the Commodity Derivatives/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it.

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

You must know and appreciate that investment in commodity futures contracts/ derivatives or other instruments traded on the Commodity Exchange(s), 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 the Exchange and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the plea that you were not explained the full risk involved by the concerned member. The Client 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 commodity derivatives being traded on the Exchange.

It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by SEBI from time to time and circulars as may be issued by the Exchange from time to time.

The Exchange 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 member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment 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, you should be aware of or must get acquainted with the following:-

1. Basic Risks involved in the trading of Commodity Futures Contracts and other Commodity Derivatives Instruments on the Exchange.

i. Risk of Higher Volatility

Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ 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 real losses.

ii. Risk of Lower Liquidity

a. Liquidity refers to the ability of market participants to buy and/ or sell

commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number 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 commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative 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.

b. Buying/ Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses, because in such a situation, commodity derivative contracts may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such commodities.

iii. Risk of Wider Spreads

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

iv. Risk-reducing orders

a. Most of the Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc. Placing of such 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.

b. 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 commodity derivatives contract.

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

d. A stop loss order is generally placed "away" from the current price of a commodity derivatives contract, and such order gets activated if and when the 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 contract approaches predetermined 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 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.

v. Risk of News Announcements

a. Traders/Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives contracts. These announcements 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 commodity/ commodity derivatives contract.

vi. Risk of Rumours

a. Rumours about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours.

vii. System Risk

a. 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.

b. 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 execution of order and its confirmation.

c. 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 commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason.

viii. System/ Network Congestion

a. Trading on the Exchange is in electronic mode, based on satellite/ leased line 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 the control of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

2.1 Effect of "Leverage" or "Gearing":

a. The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are 'leveraged' or 'geared'. Commodity Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while

b. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.

c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate/square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/ Close Outs.

d. Under certain market conditions, an Investor may find it difficult or impossible to execute the 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.

e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

f. You must ask your Member of the Exchange to provide the full details of the commodity 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 e.g. 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 OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through

wireless technology or any other technology should be brought to the notice of the client by the member.

4. General

1. 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, Byelaws and Business Rules of the Exchange.

ii. 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.

iii. For rights and obligations of the Members/Authorised Persons/clients, please refer to Annexure 3

iv. The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the Exchange.

v. The term 'member' shall mean and include a Trading Member or a Member/Broker, who has been admitted as such by the Exchange and got a registration certificate from SEBI.

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

Do's

1. Trade only through Registered Members of the Exchange. Check from the Exchange website www.exchange.com and SEBI website www.sebi.gov.in
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
5. Obtain a copy of your KYC and/ or other documents executed by you with the Member, from the Member.
6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website www.exchange.com. The trades can be verified online where trade information is available up to 5 working days from the trade date.
7. Insist on a duly signed Contract Note in specified format for every executed trade within 24 hours of trade, highlighting the details of the trade along with your UCC.
8. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.
9. Obtain receipt for collaterals deposited with the Member towards margins.
10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities to know your rights and duties vis-à-vis those of the Member.
11. Ask all relevant questions and clear your doubts with your Member before transacting.
12. Insist on receiving the bills for every settlement.
13. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your Member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.
14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
15. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
16. Ensure that the DIS numbers are pre-printed and your account number (UCC) is mentioned in the DIS book.
17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
19. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.
20. Understand and comply with accounting standards for derivatives.
21. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.
22. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/guidelines specified by SEBI/Commodity exchanges.
23. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of commodities with the Member, stating date, commodity, quantity, towards which bank/ demat account such money or commodities (in the form of warehouse receipts) deposited and from which bank/ demat account.

24. The payout of funds or delivery of commodities (as the case may be) shall not be made to you within one working day from the receipt of pay-out from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be 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) You need to bring any dispute arising from the statement of account to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Commodity exchanges without delay.

c) In case you have not opted for maintaining running account and pay-out is not received on the next working day of the receipt of pay-out from the exchanges, please refer the matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Commodity exchange.

d) Please register your mobile number and email id with the Member, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the commodity exchanges.

25. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives or the member becomes insolvent or bankrupt.

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

27. In case your problem/grievance/issue is not being sorted out by concerned

Member/Authorised Person then you may take up the matter with the concerned Commodity Exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

Don'ts

1. Do not deal with any unregistered intermediaries.
2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
3. Do not enter into assured returns arrangement with any Member
4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/ implicit promise of returns, etc.
5. Do not make payments in cash/ take any cash towards margins and settlement to/ from the Member.
6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Do not accept unsigned/duplicate contract note/confirmation memo.
9. Do not accept contract note/confirmation memo signed by any unauthorized person.
10. Don't share your internet trading account's password with anyone
11. Do not delay payment/deliveries of commodities to Member.
12. Do not forget to take note of risks involved in the investments.
13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities, deposits and/or keep them with Depository Participants (DP) or member to save time.
14. Do not pay brokerage in excess of that rates prescribed by the Exchange
15. Don't issue cheques in the name of Authorized Person.

1. REFUSAL OF ORDERS FOR PENNY STOCKS

UIPL reserves the right to, at its sole discretion and without prior notice, impose restrictions or refuse a client's ability to place orders or engage in trading activities involving penny stocks or other specified stocks/contracts (which may not necessarily be penny stocks, including but not limited to stocks subject to surveillance measures by exchanges) based on prevailing market conditions and risk containment considerations. The client shall assume full responsibility for any losses resulting from such restrictions or refusals.

2. SETTING UP CLIENT'S EXPOSURE LIMITS

UIPL has established its own Risk Management System (RMS) policy. Client limits are determined based on this policy and the margins paid, following UIPL's specified procedures, which may change over time. These limits are subject to adjustments, both increases and decreases, at the discretion of UIPL, the Exchange, SEBI, or the Clearing Corporation, as deemed necessary. UIPL may periodically impose and modify various limits on the orders that clients can execute through the stockbroker's trading system. These limits include exposure limits, turnover limits, purchase/sell limits, mark-to-market loss limits, as well as limits on the quantity, value, and types of securities for which orders can be placed, among others.

Clients acknowledge and agree that UIPL may need to swiftly modify or reduce limits, or introduce new limits, based on UIPL's assessment of risk and other relevant factors. UIPL may not always be able to inform clients of such changes in advance. Clients also acknowledge that UIPL is not accountable for these variations, reductions, or new limit impositions. UIPL retains the authority to establish varying trading limits for different clients, contingent upon its evaluation of their creditworthiness, integrity, and past conduct.

3. APPLICABLE BROKERAGE RATE

The brokerage fees will be determined by UIPL and shall be applied to the client as per the rates agreed upon in the KYC at the time of registration of client and/or subsequently through a written document. These fees may be calculated as a percentage of the trade's value, a flat rate, or by other means, all within the regulatory limits set by SEBI/EXCHANGE. The brokerage charges are subject to periodic review and may be reduced without prior written notice to the client. However, any increase in brokerage fees will only occur after notifying the client. Please note that brokerage charges do not include additional fees, charges, levies, or taxes.

4. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES

As a policy, UIPL does not offer financial support or funding facilities.

In adherence to exchange bye laws, UIPL must meet specific financial obligations, including making fund payments and arranging securities delivery within specified timeframes, maintaining adequate upfront margins with the exchanges to avail

trading exposure. Failure to maintain the prescribed cash-to-collateral ratio by exchanges may result in interest charges. UIPL will transfer penalties or fines imposed by regulatory authorities due to client activities, and may levy delay penalties, not exceeding 2% per month plus GST, for client delays in meeting pay-in obligations, which will be applicable from the pay-in deadline date until relevant dues are realized. The delay payment charges are applicable irrespective of any credits in any other family or group accounts. Clients acknowledge and agree that UIPL is not obliged to pay any interest on credit balances, up-front margins, or any other amounts held in the client's account.

5. LIQUIDATION/CLOSE-OUT OF POSITIONS

Subject to UIPL's other rights (including the option to refer the matter to arbitration), UIPL may, upon prior notification to the client, liquidate or close out any or all of the client's positions due to non-payment of margins, unsettled obligations, outstanding debts, and similar matters. The proceeds from such liquidation or closeout, if any, will be adjusted against the client's liabilities and obligations. All losses and financial charges resulting from such liquidation or closeout will be the responsibility of the client. Furthermore, the compulsory liquidation of shares held in the Client Unpaid Securities Account will be subject to SEBI and Exchange Circulars, guided by UIPL's risk Management Policy. The client must settle outstanding obligations by the 5th Trading Day from the Pay-out cut-off time at 2.15 pm. Failure to make the required payment by this deadline will lead to the discretionary liquidation of the client's shares by UIPL to recover the outstanding debit and thereafter remaining shares, if any, shall be returned to the client.

6. INTERNAL SHORTAGE FOR EQUITY

In case of purchase of securities by the Client, at times Member may be unable to deliver the securities to the said purchaser on the pay-out day due to non-receipt of the said securities from another Client of Member who has sold the securities against the said purchase transaction. In such cases, member may buy the shares from the market on T+ 1 day or on settlement day and deliver the same to the client or he may give close out at the rate as determined by the member.

7. INTERNAL SHORTAGE FOR COMMODITY

Member shall not be obliged to deliver any commodities or pay any money to the client until the same has been received by the Member from the Exchange, the clearing corporation/clearing house.

Clients are required to make Commodities/Funds pay-in on or before Settlement day. In case of default in pay-in by the client and the shortage is at member level i.e. internal shortage, a penalty as applicable from time to time (not exceeding the percentage prescribed by the exchange for auctioned trades), will be imposed on the defaulting client and the benefit will be passed on to the respective beneficiary client.

8. RESTRICTIONS/PROHIBITION TO TAKE FURTHER

POSITION OR CLOSING EXISTING POSITION:

UIPL reserves the exclusive right to either prohibit the client from opening additional positions or to terminate existing client positions under certain circumstances. These circumstances may include restrictions related to trading volume, outstanding business, or margins as set forth by the exchange, Clearing Corporation, clearing house, and/or UIPL. Additionally, such actions may be taken in response to any extraordinary events that justify such restrictions. The client voluntarily relinquishes any and all claims for losses or damages, whether arising directly or indirectly from these restrictions.

9. TEMPORARY SUSPENSION/CLOSURE AT CLIENTS REQUEST

Upon receiving a written request from the client, their account can be temporarily suspended, and it will only be reactivated upon receiving a written request from the client. However, share or ledger balance settlements for the client can still be carried out during this period. Additionally, if the client submits a written request, their account can be permanently closed.

It's important to note that any temporary suspension or closure of the trading account will not impact the rights and obligations that were incurred before the suspension or closure. UIPL will not process any request for temporary suspension or closure unless all outstanding dues from the client are settled.

10. DE-REGISTERING A CLIENT:

UIPL retains the unilateral authority to unregister a client's account and immediately terminate services in order to safeguard its interests. These interests may encompass, but are not limited to, the following situations:

1. When UIPL is legally compelled to do so.
2. If the client's account remains dormant for an extended period.
3. When UIPL has reasonable grounds to suspect fraudulent activity associated with the account.
4. When there is a valid concern that the client may be incapable of meeting their financial obligations, whether expressed in writing or verbally.
5. Any other reason deemed reasonable by UIPL for account deregistration.

The client willingly relinquishes any and all claims for losses or damages arising, whether directly or indirectly, from such account deregistration. It's important to note that deregistration will not absolve the client of any liabilities resulting directly or indirectly from transactions conducted at any time prior to the deregistration.

11. INACTIVE CLIENT ACCOUNT

A client's trading account will be designated as inactive if no trades have been executed across all exchanges for a consecutive 12- month period. The marking of an account as inactive will occur on a weekly basis or at intervals determined by UIPL.

To reactivate the account, the client must adhere to the procedures outlined by the exchanges, which may include, but are not limited to, conducting in-person verification and submitting a reactivation application along with the necessary documents.

Furthermore, if a client fails to reactivate their account within two years, they will be required to submit a new Know Your Customer (KYC) form along with all the requisite supporting documents in order to activate their account.

BANK



OTHER

CA:JT:TT 4707-00-C7







URJA INVESTMENT PRIVATE LIMITED

Member: National Stock Exchange of India Ltd. (Cash and F&O Segment)

Member : Bombay Stock Exchange Ltd. (Cash and F&O Segment)

SEBI Regn. No. : INZ000266734

M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001

Phone: +91 8595903054

Email: grievance@urjaglobalinvestment.com

Website: <https://urjaglobalinvestment.com>

DigiLocker verified e-Aadhaar

This document is generated from verified Aadhaar XML obtained from DigiLocker with due user consent and authentication

Document type	e-Aadhaar generated from DigiLocker verified Aadhaar XML			 XML verified
Generation date	2024-08-23T10:44:01.614+05:30	Download date	2024-08-23T10:44:01.614+05:30	
Masked Aadhaar number	[REDACTED]			
Name	[REDACTED]			
Date of Birth	[REDACTED]			
Gender	Male			
c/o , s/o	[REDACTED]			
Address	[REDACTED]			
Landmark	NEAR NTPC GATE NO 2	Locality	TAJPUR PAHARI	
City / District	South Delhi			
Pin Code	110044	State	Delhi	



आयकर विभाग Income Tax Department

PAN VERIFICATION RECORD

Permanent Account Number

Name	
Gender	
Date of birth	
Verified On	



Digitally signed on
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2. This digitally signed verification document is valid as per the IT Act 2000 when used electronically.



business date: 21-Aug-2024

CLIENT MASTER LIST

print date: 21-Aug-2024 1:27:20PM

national securities depository limited
DP:ARCH FINANCE LIMITED(IN303463)
81, 1ST FLOOR, DARYAGANI,81, 1ST FLOOR, DARYAGANI,NEW DELHI 110002
Phone: 011-43710023 Fax: 011-43710055

client id	10039255
status	Expired
personal details :	
Sole/First Holder Name	
First Holder's Father's Name	
Address	
pin code	
Mobile/Phone No	
e-DIS flag	
financial details :	
bank account number	
bank name	
bank address	
Gross Annual Income Rs	
other details :	
sole/first holder	
Sole/First Holder DOB	
First Nominee Details	
Nominee Name	
Nominee Address	
Pin Code	
Email ID	

