

Amrapali Capital and Finance Services Ltd.

Regd. Office :Shop No. 3, Ashoka Complex, Ground Floor,
B/h. Woodland Hotel, Naroli Cross Road, Silvassa.

Phone : 0260-2631329

Web Site : www.amrapali.com

CLIENT REGISTRATION FORM

(COMBINED FOR DP, NSE, BSE, MCX-SX & USE)

Sub Broker Name :

Branch Name :

Client Name :

UCC Code :

Auth. By :

Information Regarding Member

Amrapali Capital and Finance Services Ltd.

Member : **BSE - Bombay Stock Exchange Ltd.**
NSE - National Stock Exchange of India Ltd.
MCX-SX-Mcx Stock Exchange Ltd.
NSDL -National Securities & Depository Ltd.

SEBI Registration Numbers

BSE	CASH	INB 010758838	18-11-2005
	FO	INB 010998733	07-12-2006
NSE	CASH	INB 230758835	08-08-1995
	FO	INF 230758835	29-11-2002
	CURRENCY	INE 230758835	26-08-2008
MCX-SX	CURRENCY	INE 260758838	30-09-2008
USE	CURRENCY	INE 270758837	04-10-2010
NSDL	DEPOSITORY	IN-DP-NSDL-324-2009	25-09-2009

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Corporate Office : 19/20/21, 3rd floor, Narayan Chambers, B/h. Patang Hotel, Ashram Road, Ahmedabad-380 009.
 Phone : 079-26581329-30, Fax : 079-26584313
 Web Site : www.amrapali.com
 Investor Grievance E-mail : grievances@amrapali.com

Compliance Officer : Mr. Nirav Basher. Phone : 26575105, E-mail : nirav.basher@amrapali.com
Senior Manager : Mr. Jigar Gajjar (IT & System) E-mail : suport@amrapali.com
Senior Manager : Mr. Hitesh Soni (DP) E-mail : demat@amrapali.com
Senior Manager : Mr. Baldev Patel (Demat) E-mail : baldev@amrapali.com

Information Regarding ACFSL Sub-broker / Authorised Person

Sub Broker/Authorised Person Name :

SEBI Registration BSE Cash : **I N S**

BSE Cash : **I N S**

Authorised Person Registered with: BSE Cash

NSE Cash

NSE F&O

Investor Grievance Cell / Arbitration

(In case not satisfied with the response, please contact the concerned exchanges(s) at)

NSDL : Investor Grievance : Office-In-Charge, Investor Relationship Cell,
National Securities Depository Limited, Tradeworld, 4th Floor, A - Wing, Kamala Mills Compound, Lower
Parel, Mumbai-400 013. Phone : 022-24994200, Fax : 022-24972993/24976351, E-mail : relation@ndsl.co.in

NSE : Investor Grievance Cell / Arbitration,
Email : ignse@nse.co.in, Tel No. : (022) 26598190 - Fax No. : (022) 26598191

BSE : Investor Grievance Cell / Arbitration.

Effective from 31st January, 2009, the Complaint against trading members of the Exchange or Applications for Arbitration should be filed at the concerned Regional arbitration Centre referred to in column 1 below covering that State or Union Territory of India, referred to in Column 2 below, within which the most recent address / registered office address of the constituent, as duly communicated in writing to the trading member in accordance with law, is located. Provided in respect of a non-resident Indian Constituent, the Seat of Arbitration shall be Regional Arbitration Centre which covers the States and Union Territories given in Column 2, in which lies the address or the Registered Office address, as the case may be, of the trading member, depending upon corporate or non-corporate membership of the trading member. The hearings shall be held in the concerned Regional Arbitration Centre in which the Applicant had duly filed the Application for Arbitration.

Column 1	Column 2	Column 1	Column 2
Regional Arbitration Centre	States and Union Territories covered by the Regional Arbitration Centres	Regional Arbitration Centre	States and Union Territories covered by the Regional Arbitration Centres
BSE Limited Regional Office - North, 7th Floor, Mercantile House, K G Marg New Delhi - 110 001. Phone No. :011-41510481 Telefax No. : 011-41510480 E-mail Id : iscdelhi@bseindia.com ritesh.kumar@bseindia.com	Delhi, Haryana, Uttar Pradesh, Uttaranchal, Himachal Pradesh, Punjab, Jammu & Kashmir, Chandigarh, Rajasthan	BSE Limited Regional Office - East, 1st Floor, Kishor Bhaban 17, R. N. Mukherji Road Kolkata - 700 001 Telephone No.: 033-22133184, Telefax No. : 033-22130530 E-mail Id : isc.kolkata@bseindia.com; anirban.guha@bseindia.com	Maharashtra, Gujarat, Goa, Daman & Diu, Dadra & Nagar Haveli, Madhya Pradesh
BSE Limited Regional Office - South, No.4. Vijaya Towers, 3rd Floor Kodambakkam High Road (Opp. to Palm Grove Hotel) Chennai - 600 034 Phone No. : 044-420089959 Telefax No. : 044-42089958 E-mail Id : iscchennai@bseindia.com; s.periyasamy@bseindia.com	Andhra Pradesh, Karnataka, Kerala, Tamilnadu, Andaman & Nicobar, Lakshadweep, Pondicherry.	Regional Office - West, Department of Investor Services, P J Towers, 1 st floor, Dalal Street, Fort, Mumbai - 400001. Phone No. : 022-22721233/34 Fax No. : 022-22723677 E-mail Id : stanies.crasto@bseindia.com	Maharashtra, Gujarat, Goa, Daman & Diu, Dadra & Nagar Haveli, Madhya Pradesh

MCX-SX at : investorcomplaints@mcx-sx.com

PART-A : MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, EXCHANGES & DEPOSITORY

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	04 - 09
		B. Document captures the additional information about the constituent relevant to trading account and an instruction check list.	10 - 12
2	Rights and Obligations	Document stating the Rights Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	18 - 22
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	23 - 26
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	27 - 28
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	29 - 33
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the stock broker).	13 - 13

PART-B : VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER / DP

7	Confirmation note regarding KYC mandatory/non mandatory requirement	34 - 34
8	Client running account authorisation	35 - 35
9	E-mail / SMS consent to receive the ECN, Trade confirmation and DP Transaction	36 - 36



ACFSL

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Photo Graph
of
GuardianPhoto
Graph

Type of Account For Individual

Individual Resident Individual Director Minor NRI Repatriation
 NRI Non-Repatriation Individual Promoter Proprietorship Firm Others

Personal Details (Trading Client)

Name : First Name Middle Name Surname

Father's/Spouse Name : First Name Middle Name Surname

DOB : DDMMYYYY Male Female Married UnMarried

PAN : UID :

Identity Proof : PAN DL Voter ID Passport Other (specify)

Correspondence Address

City : Pin Code : State :

Country : STD Code : Fax No. :

Mobile No. : SMS Facility : Yes NO

Tel No. (R) : Tel No. (O) :

Email Id :

Address Proof : DL/Passport /Voter ID/Bank/Elect.Bill /Tele.Bill /Other (specify)

Foreign Address - In Case of NRIs

Foreign Address

RBI Reference No. RBI Approval Date DDMMYYYY

Income Range of Networth (Financial Details)

Income (Annum) : Below 1 Lacs 01-05 Lacs 05-10 Lacs 10-25 Lacs > 25 Lacs

or

Networth (as on) : : is Rs..... (should not be older than 1 year)

Financial Proof for F & O

Copy of IT Return with Acknowledgment Bank A/C. Statement for last 6 months

Salary Slip Self Declaration along with relevant Supporting

Education and Occupation details

Educational Qualifications : Graduate Post Graduate Professional Others (Specify) :

Occupation : Private Sector Public Sector Government Service Professional Agriculturist

Self Employed Business House Wife Retired Student Others (specify) :

Nature of Business :

Name of Employer :

Name of Establishment (If self employed/business/professional/others) :

Office Address :

City : Pin : State : Country : Tel/Fax No. :

Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any Other Information :

Nomination(s) (Not Applicable for HUF A/c's)

I/We wish to make a nomination and do hereby nominatd the following persons in whom all rights and / or money payable in respect of securities held in the Depository and trading account by me/us in the said trading / beneficiary owner account shall vest in the event of my/our death.

I/We do not wish to make a nomination

Name of Nominee	
Relationship with applicant. (if any) :	
Address of Nominee	
	City : Pin Code <input type="text"/>
	PAN No. <input type="text"/> Tele : <input type="text"/>

Guardian (In case Nominee is a Minor)

Name of Guardian							
Address of Guardian							
	City :					Pin Code	■ ■ ■ ■ ■ ■
	Tele :	■ ■ ■ ■ ■ ■ ■ ■ ■ ■					
Date of Birth (In case of Minor) :	■	■	■	■	■	■	■

Photo graph of-the Nominee

Signature of Nominee across Photograph

X
Signature of Nominee/ Guardian (As applicable)

Photo graph of-the Guardian (In case of Minor)

Signature of Guardian across Photograph

Signature of Witness

Name of 1st Witness							
Address							
Signature (1st witness)	X Signature (1st Witness)	Place					
		Date :	■	■	■	■	■

Name of 2nd Witness							
Address							
Signature (1st witness)	X Signature (2nd Witness)	Place					
		Date :	■	■	■	■	■

Trading / Sole (Minor) / First Holder

X Sole/First Holder Signature

Second Holder

X Second Holder Signature

Third Holder

X Third Holder Signature



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Type of Account for Non-Individual (Demat and Trading)

Partnership Trust HUF Body Corporate Private Limited Public Limited
 Bank NBFC AOP LLP Other (specify)

Details for Trading (Corporate, Firm, HUF, HUF Karta, Partners)

Name of Company/Firm/HUF/Others :

Name of HUF Karta :

Name of Authorised Partner/Person (1) :

Name of Authorised Partner/Person (2) :

Date of Incorporation Place of Registration :

Date of commencement of Business : Reg. No.(ROC) :

PAN : UID :

Identity Proof : PAN Other (specify)

Registered Office Address / HUF Karta Address

City : Pin Code : State :

Country : STD Code : Fax No. :

Mobile No. : SMS Facility : Yes NO

Tel No. :

Email Id :

Address Proof (Please specify) :

Correspondence Address

C/o

City : Pin Code : State :

Country : STD Code : Fax No. :

Address Proof (Please Specify) :

Address for Communication/Corporate Benefits (Default Option is Regd. Address)

Registered/Permanent Address
Correspondence Address/Foreign Address

Income Range or Network

Income (Annum) : Below 1 Lac 1-5 Lacs 5-10 Lacs 10-25 Lacs 25 Lacs-1 Cr > 1 Cr

or

Networth (as on): : is Rs..... should not be older than 1 year)

Nature of Business :

In Case of FIIs/OCBS/Others (as may be applicable)

Foreign Address		
RBI Reference No.	RBI Approval Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
SEBI Registration No. (For FIIs)		

Introduction (by an existing account holder ACFSL)

Introducers Name :	
ACFSL DP ID - IN303761	BO ID <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Signature of Introducer : ^X Signature	Verified by ACFSL DP Staff : ^X Signature

Mode of Operation for Sole / First Holder (in case of joint holdings, all the holders must sign)

Any one singly Jointly by
 As per resolution Other (please specify) :

Details about Wholetime Directors / Trustees / HUF / Authorised Person

Name : _____

Address : _____

City : _____ Pin Code : _____

Mobile/Tele No. : _____

UID : _____

PAN : _____

DIN: _____

Politically Exposed Person Related to a Politically Exposed Person

Passport size
Photograph
Only.
Please
Sign
Across the
Photograph in
Black Ink.

X
Signature with Stamp

Details about Wholetime Directors / Trustees

Name : _____

Address : _____

City : _____ Pin Code : _____

Mobile/Tele No. : _____

UID : _____

PAN : _____

DIN: _____

Politically Exposed Person Related to a Politically Exposed Person

Passport size
Photograph
Only.
Please
Sign
Across the
Photograph in
Black Ink.

X
Signature with Stamp

Details about Wholetime Directors / Trustees

Name : _____

Address : _____

City : _____ Pin Code : _____

Mobile/Tele No. : _____

UID : _____

PAN : _____

DIN: _____

Politically Exposed Person Related to a Politically Exposed Person

Passport size
Photograph
Only.
Please
Sign
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Bank Account Details (For Individual and Non-Individual)

Bank Account Type : Saving Current CC OD Other (pl. specify) _____

Bank Account No. : _____

Bank Name : _____

Branch Address : _____

Bank Branch Code : _____ MICR No. : _____

City : _____ Pin Code : _____

IFSC Code (RTGS / NEFT) _____

Depository Account Details

DP Name : _____ DP ID : _____

NSDL CDSL Beneficiary ID : _____

Address of DP : _____

Trading Preference

BSE Cash Client Signature
 NSE Cash Client Signature
 NSE F & O Client Signature

BSE F&O Client Signature
 NSE CDS Client Signature
 MCX CDS Client Signature

USE Client Signature

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

YEAR	AUTHORITY NAME	ORDGE REF. NO.
D D M M Y Y Y Y		
D D M M Y Y Y Y		

Registered with any other Member / Sub/Broker / Authorised Person

(If registered with multiple members, provide details of all) :

Name of Member :
 Name of Exchange : BSE NSE SEBI Regd. No. : Trading UCC
 Name of Sub-Broker / Authorised Person :
 Sub-broker/AP Regd. No. :
 Details of disputes/dues pending from/to such stock broker/sub broker :
 Details of disputes/dues pending from/to such stock broker/sub broker :

 (if case dealinCith multiple stock brokers/subbrokers, provide details of all and please use separate sheets)

Additional Details

Contract Note : Physical (Charges as per Schedule) ECN with registered e-mail id

Trading Experience (1) No prior Experience (2) years in stock
 (3) years in derivatives (4) years in any other investment related field

Internet Trading/Wireless technology NOW ODIN DIET FOW
 (Charges as per Schedule)

Any Other Information :

Details of Introducer

Name of Introducer :

Status of Introducer : Sub-broker / Authorised Person Existing client others (pl. specify).....

Address :

City :

Pincode :

Ph. No.

Sign : **X**
 of Introducer

Information required under PMLA Act

Details of the relatives, having account with Amrapali Capital & Finance Services Ltd.

	Name	Relationship	UCC
1.			
2.			

Details of the corporate/partnership firm/trust, etc where client is affiliated

	Name	Entry Type	Nature of Business	Relationship	UCC
1.					
2.					

Declaration

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

Please sign in black ink only

Name(s) of holder(s)

Signature(s)

Trading Client / Sole Holder / 1st Holder / All Authorised Sign.		
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Place :

Date : D D M M Y Y Y Y

Tarrif Sheet Part-I : Cash and F & O Segment and CDS (Brokerage Slab)

Cash Segment BSE & NSE <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Brokerage Slab	First Leg (%)	Second Leg (%)	First Leg (Minimum)	Second Leg (Minimum)	Service Tax	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Delivery Based		Not Applicable		Not Applicable	Stamp & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Daily Square Up					Transaction & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>

Future Strike BSE & NSE <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Brokerage Slab	First Leg (%)	Second Leg (%)	First Leg (Minimum)	Second Leg (Minimum)	Service Tax	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Delivery Based		Not Applicable		Not Applicable	Stamp & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Daily Square Up					Transaction & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>

Options BSE & NSE <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Brokerage Slab	First Leg (%)	Second Leg (%)	First Leg (Minimum)	Second Leg (Minimum)	Service Tax	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Delivery Based		Not Applicable		Not Applicable	Stamp & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Daily Square Up					Transaction & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>

Future-CDS NSE & USE-MCX-SX <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Brokerage Slab	First Leg (%)	Second Leg (%)	First Leg (Minimum)	Second Leg (Minimum)	Service Tax	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Delivery Based		Not Applicable		Not Applicable	Stamp & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Daily Square Up					Transaction & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>

Options-CDS NSE & USE-MCX-SX <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Brokerage Slab	First Leg (%)	Second Leg (%)	First Leg (Minimum)	Second Leg (Minimum)	Service Tax	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Delivery Based		Not Applicable		Not Applicable	Stamp & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>
	Daily Square Up					Transaction & Other Charges	Y <input checked="" type="checkbox"/> N <input type="checkbox"/>

Tarrif Sheet Part-II : Other Charges (Excluding Service Tax)

- In case the Client's e-mail ID is not registered with ACFSL or failed to submit new e-mail ID / incase of bounced mail, in the Trading KYC, ACFSL will charge Rs. 10/- (within gujarat) per dispatch including Contract Note, Fund Ledger, Security Ledger and any other detail dispatch regarding above and Rs. 20/- out of Gujarat for the same.
- In case client needs any additional hard copy (printout), ACFSL shall levy charge of Rs. 10/- per page.
- Security payout hold and released charge Rs. 20/- per instruction.
- ACFSL reserves the right to change any charge from time to time, with prior notice.

Sign of Trading
Client / First / Sole Holder

X
 Sole / First Holder Signature

**Declaration by the ACFSL Sub-broker / Authorised Person for
CASH, F&O, CDS**

I / We hereby declare that above trading and demat client is/are personally known to me/us and he/ she/they can be registered as a Client of Amrapali Capital & Finance Services Ltd., I/We undertake to clear the trades of the above Client. Further I/We also have verified original documents and address of the same. I/We hereby authorise you to adjust the shortfall if any, of margin/settlement/ledger dues of the above client by debiting to my / our Bank Account or to capital adequacy deposit maintained with you.

ACFSL Sub-Broke/Authorised Person Name (As Introducer)	ACFSL User ID <input type="text"/>
ACFSL Sub-Broke/Authorised Person Sign	Authorised signature with Stamp

Declaration by Karta & Co-Parceners of HUF

HUF Name : _____
Name of Kara : _____
Address : _____

_____ (Name of the Karta) hereby declare that I am the Karta of the HUF
 _____ (Name of HUF) and following persons are the Co Parceners of the HUF.
 We all the below mentioned Co-Parceners declare that Mr. _____
 _____ (Name of the Karta) is the Karta of the above mentioned HUF of which we are the Co Parceners :

Sr. No.	Name	BirthDate	Relationship With Karta	Status	Signature (With Stamp of HUF)
1	_____	__/__/__	_____	KARTA	_____
2	_____	__/__/__	_____	CO Parcener	_____
3	_____	__/__/__	_____	CO Parcener	_____
4	_____	__/__/__	_____	CO Parcener	_____
5	_____	__/__/__	_____	CO Parcener	_____
6	_____	__/__/__	_____	CO Parcener	_____
7	_____	__/__/__	_____	CO Parcener	_____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
2. PAN card with photograph.
3. Identity Card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members and Credit cards/debit cards issued by Banks.

C. Proof of Address (POA) :- List of documents admissible as proof of Address :

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill-Not more than 3 months old.
3. Bank Account Statement/Passbook --Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following : Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following : Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings,

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.

7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents :

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

DISCLOSURE INFORMATION (FOR PRO ACCOUNT TRADING)

To,

Dear Sir,

This is to inform you that we do client based trading and Pro Account trading in National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE), MCX Stock Exchange Ltd. (MCX-SX)

Thanks & Regards

For Amrapali Capital & Finance Services Ltd.

Authorised Signatory/Director

I acknowledge the receipt of information given by that they do Client based trading & Pro account trading.

Client Name:

Client Signature.....

[Note: To be signed by person himself/herself and not to be signed by his/her attorney/autho. person etc.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

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

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

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and

thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.

10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/ securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/ notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/ close out, if any, against the client's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/ partnership/ proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/ Promoter(s)/ Partner(s)/ Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-a-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client; shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to

- his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/ stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall

simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges. Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

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

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

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

Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives

contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

1. Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

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

C. Under certain market conditions, an investor may find it difficult or impossible to execute

transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

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

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

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire

investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single

option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

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

Date :

Place :

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

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

details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/COMPLAINTS

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

POLICIES AND PROCEDURES

(AS PER SEBI CIR. NO. MIRSD/SE/CIR-19/2009 DATED 3RD DECEMBER, 2009)

1. REFUSAL OF ORDER FOR PENNY STOCKS.

Stock broker is advising to the clients not to deal in penny stocks and if client deal with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin Deposit. The stock broker shall have authority from time to time to set the limit (in quantity/value) and/or refuse to entry any orders of the clients in one or more penny securities. The client is required to adhere to exchange/members guidelines and due diligence while trading in such illiquid scrip. A typical penny stock is highly illiquid and even trading in such scrip is very risky. As such the Trading Member as its discretion may allow or disallow the clients to deal/trade in the penny stocks and other stocks which are illiquid if trading member is of the view that such trading may adversely affect the market condition or it will make the price manipulation. To deal in penny stocks is subject to rules, regulations, articles, byelaws, circulars and guidelines of SEBI and Exchange as well as considering the prevalent market conditions at related point of time.

2. SETTING UP CLIENTS EXPOSURE LIMIT

Trading Member may at its discretion allow client exposure limit to client. Trading member can derive combine exposure limit for Capital & Derivatives Segment of NSE & BSE by taking into consideration of the credit balance in the ledger, securities hold in Beneficiary account, POA stocks, Margin accounts, Stock consider as collaterals, and also his financial capacity and/or credit worthiness and referrals. Permission of higher authority is generally required for giving exposure limit exceed the certain amount say Rs. 500000. The exposure limit in penny stocks shall vary from client to client subject to RMS policy of Broker and prevalent market condition from time to time.

3. BROKERAGE RATE :

The broker shall charge the brokerage at the rate being agreed by the client with broker. However the broker shall not charged more than 2.5% as it is the maximum permissible limit prescribed by SEBI/Exchange from time to time. Brokerage on option contracts shall not exceed 2.5 % of the premium amount or Rs.100/- per lot single side whichever is higher.

4. Imposition of Penalty/Delayed payment charges by either party:

The clients must aware and agree that pay-in of Securities and/or Funds are required to be delivered / made to Broker before the time of pay-in obligation in the exchange. In case of any default or if any amount is overdue from client over & above the prescribed time limit of pay-in Broker may charged penalty/delayed payment charges, to that client, ranging start from 12% but not more than 24% p.a. or such other rate as may be specified by the Executive Committee from time to time for the period of such default. In case the client has failed to make the payment of any of the amounts liable to pay, Member shall have the right to discontinue services till such time he makes the payment along with interest, if any, after giving two days notice to the client.

5. Right to Sell Client's Securities or Close Clients Position without Giving notice to client, on account of non-payment of clients dues (Limited to the extent of settlement/margin obligation)

The Trading Member shall have the right and the prerogative to sell client's securities, both unpaid securities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is either a delay or failure of the client to meet the pay-in obligations and / or there is delay /failure of the client to bring additional margins to cover the increase in risk in dynamic and volatile market conditions.

The client would be responsible for monitoring his / her / its position (dealings/trades and valuation of security(ies)) on his / her / its own and provide the required/deficit margin / security(ies) forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the Trading Member to the client and / or whether or not such communication is received by the client. The client is not entitled to trade without adequate margin and that it shall be

client's own responsibility to ascertain beforehand the margin requirements for its orders/ traders/deals and to ensure that the required margin is made available to the Trading Member in such form and manner as may be required by the Trading Member.

The client shall ensure that funds/securities are made available in time and in designated form at designated bank(s) and depository account(s) of the Trading Member, for meeting his/her/its pay-in obligation of funds and securities. The Trading Member shall not be responsible for any claim/loss/damage arising out of non availability/short availability/delayed availability of funds/securities by the client in the designated account(s) of the Trading Member for meeting the pay-in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay-in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay-in for any reason whatsoever including but not limited to any delays/shortages at the exchange or Trading Member level/non release of margin by the Trading Member etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square-off / closing outs etc., shall be solely to the account of the client and the Trading Member shall not be responsible for the same in any form or manner whatsoever.

In case the payment of the margin/security is made by the client through a bank instrument, the Trading Member shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument & subsequent updation in records as per Trading Member's process.

Where the margin/security is made available by way of securities, it is up to the Trading Member's discretion to decline its acceptance as margin &/or to accept it at such reduced value as the Trading Member may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the Trading Member may deem fit in its absolute discretion.

In the event of client failing to maintain or provide the required margin/fund/security(ies) or to meet the funds/ margins/securities pay-in obligations on immediate basis for the orders/trades/deals of the client and the Trading Member shall have the right, without any further notice or communication to the client, to withhold payout of funds/securities, to liquidate security(ies), to disable trading facility to the client.

Losses, if any, on account of any one or more steps, as enumerated herein above, being taken by the Trading Member, shall be borne exclusively by the client alone.

6. Shortage in obligation and Internal Auction.

Trading Member shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the Trading Member from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under :

- (A) Short Delivery to the Exchange for scrip at the Trading Member level: In case of short delivery to exchange, the settlement happens as per the auction/close-out mechanism of Exchange and auction/close-out debit is passed to the defaulting client(s) who did not fulfill his/her/its selling obligation.
- (B) Short delivery of pay-out to clients who bought the scrip on that day (Client to Client shortage): The shares delivered short will be purchased on the pay-in date i.e. on T+2 from Normal Market

and the purchase consideration amount will be debited to the defaulting client(s). However, when multiple settlements (say S1 and S2) are conducted on the same day (say T_m) the shares delivered short shall be purchased as under:

1. The shares delivered short in first settlement (S1) shall be purchased on T+2 day (T_m) from Normal Market and the purchase consideration amount will be debited to the defaulting clients.
2. The shares delivered short in second settlement (S2) shall be purchased on T+3 day (T_m+1) from Normal Market along with the shortages of that day and the purchase consideration amount will be debited to the defaulting clients.

If the covering rate (internal shortage repurchase) is more than the actual sell rate on T day, the difference amount will be borne by the defaulting client on sell side.

If the covering rate (internal shortage repurchase) is less than the actual sell rate on T day, the difference amount will be debited to the defaulting client on sell side and credited in a separate account maintained with Indiabulls Securities Limited (IBSL).

Further, if IBSL is unable to buy shares on T+2 day from normal market due to upper side freeze on the scrip or any other reason, the defaulting seller will be debited at the close-out rate and the corresponding buyer will be credited by equivalent amount. The close-out rate will be the highest between the trade date and (T+2) date or 20% above the official closing price on the (T+2) day, whichever is higher.

Further, if the shares covered against client to client shortages are again received short from any client, the trade will be settled by the close-out debit to seller client and corresponding buyer for whom the shares were covered will be credited by equivalent amount. The close-out rate will be the highest rate between the repurchase date (T day) and auction date i.e. (Repurchase date +2) day or 20% above the official closing price on the auction day, whichever is higher.

If the shares repurchased against client to client shortages received short from Exchange, the settlement happens as per the auction/close-out mechanism of exchange.

(C) Mechanism of choosing corresponding clients on the buy side: Corresponding clients on the buy side of scrip A are chosen on the basis of the descending quantity of shares bought by them i.e. first the client (say X) who has purchased highest quantity of scrip A will be picked up and if the shortage of shares is more than the quantity of shares bought by the client X, then the client who has purchased the next highest quantity will be picked up so on and so forth. The shares bought on T+2 in case of Client to Client shortage and shares/credit received from Exchange through auction process in case of Trading Member level shortage are credited to the corresponding client on buy side of scrip A chosen through the aforesaid mechanism.

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

The Trading Member may refuse to execute order of a client or may close the existing position of the client due to lack of margin / securities or the order being outside the limits set by Trading Member / exchange/ SEBI. Other reasons for not allowing further positions or closing out of existing positions could be as:

- A) Client has not met his pay-in obligations in cash by the scheduled date of pay-in for purchases done in CM segment.
- B) Non-payment or erosion of margins or other amounts, outstanding debts, etc.
- C) Client is dealing in illiquid scrips or contracts/penny stock.
- D) Cheque submitted by the client has bounced or clear funds not received with the Trading Member for the cheque submitted by the client.
- E) If in the opinion of the Trading Member, the client has committed a fraud, crime, or acted in

contravention to the agreement.

- F) Non Payment of Marked to Market loss in Cash.
- G) Open positions in a contract exceed or are close to market wide cut-off limits.
- H) Client's position is close to client-wise permissible "open" positions.
- I) Intraday orders after the cut-off time would not be allowed.

8. Temporarily suspending or closing a client's account:

The Trading Member can suspend/close the client account and also withhold the pay-outs of client if there is any judicial or/and regulatory order/action requiring suspension/closure of client's account. The Trading Member can also suspend/close the client account if the Trading Member observes any abnormal or suspicious activity in the client account through its monitoring and surveillance of the client account. The Trading Member may also temporarily suspend/close the client account if there is no activity in the client account for a period, as deemed fit by the Trading Member from time to time. The client's account can also be put under temporary suspension/closure if the client has not cleared the uncovered debit in its account or if the client has not submitted Know Your Client (KYC) details sought by the Trading Member to fulfill its own surveillance or exchange related requirements.

In the event of information/reports reaching the Trading Member of the client's death, the account can also be put under temporary suspension/closure.

The Trading Member can also put the client's account under temporary suspension/closure if the client has failed to provide or update its communication details like correspondence address, Mobile number, landline numbers or E-mail ID.

The client may also request the Trading Member to temporarily suspend/close his account, Trading Member may do so subject to client accepting / adhering to conditions imposed by Trading Member including but not limited to settlement of account and / or other obligation.

9. De-registering a client:

The client has the option to De-register his account after settling his account with the Trading Member. The client would be liable to pay all dues in his account before the De-registration.

The Trading Member shall have the right to terminate the agreement with immediate effect in any of the following circumstances:

- a) The client account figures in the list of debarred entities published by SEBI.
- b) The actions of the Client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- c) If there is any legal /regulatory proceeding against the client under any law in force.
- d) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- e) If the Client is in breach of any term, condition or covenant of this Agreement;
- f) When the Trading Member is informed or ascertains that the client has deceased/become insolvent/not able to act in the market due to lunacy/disability etc.
- g) The Trading Member shall have the right to close out the existing positions, sell the collaterals to recover any dues with or without consent of the client before the de-registration of the client.
- h) Either party will be entitled to terminate the agreement without assigning any reason, after giving notice in writing of not less than 30days to the other party.

Notwithstanding any such termination/deregistering , all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination/deregistering , shall continue to subsist and vest in/ be binding on the respective parties or his/its respective

heirs/executors/administrators/legal representatives/ successors as the case may be.

Client Acceptance & Acknowledgement :

I/We have fully read & understood the Policies and Procedures and do hereby acknowledge the same and give our unequivocal consent not to question the validity, enforceability and applicability of any provision/clauses of this document under any circumstances what so ever. I/We also understand & acknowledge that these policies and procedures are subject to amendment / change(s) as thought necessary by the Trading Member from time to time.

I/We understand that any such amendment(s)/change(s) to be effected shall be the sole prerogative of the Trading Member. I/We are aware that these Policies and Procedures and/or any subsequent amendment(s) made thereto are available on the Trading Member's website (<https://www.amrapali.com>) & I/We acknowledge to keep myself/ourself abreast of the same. I/We are also aware that the copy of such Policies & Procedures can also be availed on request being made to the centralized helpdesk (helpdesk@amrapali.com , 079 -26581330).

I/We acknowledge that I/we have fully read and understood the terms of the Member client Agreement, Agreement between the Trading Member and the client, Do's and Don'ts document that are integral part & parcel of the account opening kit. I/We also acknowledge that I/we are aware that the copy of the aforesaid documents containing the terms are also available on the website of the Trading Member and a duplicate copy of the same can be availed on a request being made to the centralized customer care helpdesk. I/We also acknowledge that the aforesaid policies and procedures along with amendment(s) made thereto shall be read along with the Member Client Agreement and the Agreement between the Trading Member and Client. I/We also understand & acknowledge that these would be compulsorily referred to while deciding any difference/dispute between me/us and the Trading Member before any court of law/judicial /arbitrator or any other adjudicating authority.

PART-II

Confirmation note regarding KYC mandatory / non mandatory Clauses and requirement

Sub : Mandatory and Voluntary documents under documentary requirements for trading.

I / We understand that only the documents mentioned below seriated at 1 to 6 are mandatory (Part 1 of KYC) and non mandatory document or requirements below seriated at 7 to 9 (Part 2 of KYC) i.e any additional clauses or documentations that are being executed are voluntary and at the discretion of the trading member and me/us in compliance of SEBI circular no. CIR/MIRSD/16/2011 dated August 22, 2011.

PART-I : MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES/DEPOSITORY		
Sr. No.	Name of the Document	Bridr Significance of the Document
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction check list.
2	Rights and Obligations	Documenr stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).
3	Risk Disclosure (RDD)	Document detailing risks associated with dealing in the securities market.
4	Guidance note	Document detailing do's and don'ts for trading on exchange,, for the education of the investors.
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker)
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the stock broker)
PART-II : VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER/DP		
7	Confirmation note regarding KYC mandatory/non mandatory requirement	
8	Client running account authorisation	
9	E-mail / SMS consent to receive the ECN and trade confirmation and DP Transaction	

I / We also understand that in order to avail special facility, I / We may have to execute further documents relation to such special facility provided by the Member which are voluntary and I / We need not execute such documents if I / We do not wish to avail the said facility.

Further, I / We have read, understood and executed KYC document and all the documents attached to the KYC and shall be binding upon me / us.

Client Signature X 

Sub-broker /Authorized Signature X 

Authorization by the client to Broker, Sub broker / Authorized person for maintaing running account

Date:
To,
Amrapali Capital and Finance Services Ltd.
Ahmedabad

Dear Sir,

Sub : Authorization for running account maintenance on Monthly / Quarterly basis.

I/We the undersigned registered as client with you (The Broker and Sub-broker/Authorized Person) in BSE & NSE for cash and F& O / CDS segment request (whatever applicable) and authorize you to maintain a running account for all our transactions across all stock exchanges and across all segment for which we are registered with you.

I/We request you to give us the pay-out of securities and funds within prescribed time of pay-out unless requested otherwise. I/We specifically authorize you to maintain a running account (as per Option I or Option II below) / ledger stating all the movements of my/our securities and funds for margins, marking to market and pay-in pay-out etc. and maintain my/our credit balances of funds and securities which should be utilized for my/our all obligations (including upfront margin, initial margin, span margin, mark to market and pay-in and any other applicable margin as per exchanges). I/we request you to provide me/us the account statement at least once in every month or quarter as applicable.

I/We undertake that all the running account maintenance conditions will be binding on me/us and I/We will be fully responsible for the above mentioned movements and adjustments of funds and securities across the stock exchanges and segments. Further I/We will not claim any interest on the funds and securities retained under this request and the sub-broker/authorized person and stock broker will not be liable for any loss, damage or any other consequences of this request by us to maintain running account.

Kindly further note that I/We am/are entitled to revoke this authorization at any time, after sending the revocation letter at your registered office to enable you to make necessary changes to handle my account without running account authorization.

Option : I (Monthly)

I/We here specifically authorize stock-broker to maintain a running account on monthly basis subject to conditions as mentioned as per the SEBI and Exchanges Norms.

X

Client Signature

(For maintain a running account On Monthly basis)
(if Partner, Corporate, or other Signatory, then attest with company seal.)

Option : II (Quarterly)

I/We here specifically authorize stock-broker to maintain a running account on Quarterly basis subject to conditions as mentioned as per the SEBI and Exchanges Norms.

X

Client Signature

(For maintain a running account On quarterly basis)
(if Partner, Corporate, or other Signatory, then attest with company seal.)

DOCKET - B
(xiii) INTERNET TRADING LETTER

To,

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.....
.....

Sub : Internet Trading


Sir,

We wish to trade through internet on **National Stock Exchange/Bombay Stock Exchange** and confirm that we are fully aware of and understand the risks associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of our Username and or Password by a third party and the risk of a person hacking into our account on your ITORS system and unauthorisedly routing order on behalf of us through the System. We agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of our Password and/or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever.

We hereby confirm you to send our Username and Password on the below mentioned e-mail address.

E-mail Address : _____

Thanks and best regards

Signature  _____

For : _____

Name : _____

Trading Code : _____

Mobile No. _____



**(xiv) SUPPLEMENTARY MEMBER CLIENT AGREEMENT (BSE)
(ITORS TRADING)**

This supplemental agreement ("this Agreement") is executed at DELHI on this _____ day of _____, 200 _____

BETWEEN

M/s. _____, a company/body corporate incorporated under the provision of the Companies Act, 1956 having its registered office at _____, hereinafter referred to as "**the Member**", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include its successors) of the ONE PART;

AND

_____, an individual, having his/her office at _____, hereinafter referred to as "**the Client**", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives) of the OTHER PART;

OR

M/s. _____, a sole proprietary concern/HUF Concern of Mr./Ms./Mrs. _____, having its principal office at _____, hereinafter referred to as "**the client**", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include the sole proprietor's heirs, executors, administrators and legal representatives) of the OTHER PART;

OR

M/s. _____, a partnership firm registered under the provisions of the Indian Partnership Act, 1932 having its address at _____, hereinafter referred to as "**the Client**", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include the partners or partner for the time being of the said firm, the survivors or survivor of them and its/his/her/their respective heirs, executors, administrators and legal representatives) of the OTHER PART;

OR

M/s. _____, a company / body corporate incorporated under the provisions of the Companies Act, 1956 having its registered office at _____, and a branch office in _____ at _____, hereinafter referred to as "**the client**", (which expression shall, unless it be repugnant to the context or meaning thereof, be deemed to mean and include its successors) of the OTHER PART;

WHEREAS:

- (i) The Member is a member of Bombay Stock Exchange Ltd. ("**the Exchange**") and is also registered with the Securities & Exchange Board of India ("SEBI") as a Stock Broker with SEBI Registration No. INB.....
- (ii) The Client is a client/constituent of the Member, and the Member and the Client have entered into a Member-Client Agreement dated the _____ day of _____, _____ in accordance with the model agreement prescribed by SEBI ("**the Main Member-Client Agreement**");
- (iii) The Member offers and/or proposes to offer the ITORS Service to its clients; and the Clients desires to avail of the Member's ITORS Service for purchasing, selling or otherwise dealing in securities;
- (iv) The Member and the Client desire to enter into this Supplemental Agreement to the Main Member-Client Agreement in order to record the agreement between them relating to the Member's ITORS Service to be availed of by the Client.



IT IS HEREBY AGREED BETWEEN THE MEMBER AND CLIENT as follows:

I. Definition:

- 1.1 In this Agreement (including the Recitals above), unless the context otherwise requires the following words shall have the following meanings:
- (i) **"the Exchange"** means Bombay Stock Exchange Ltd. and includes a segment of the Exchange.
 - (ii) **"Exchange Provisions"** means the Rules, Bye-laws, Regulations, Business Requirement, specifications, handbooks, notices, circulars and resolutions of the Exchange or any segment of the Exchange in force from time to time and includes the Minimum Requirements Handbook for ITORS prescribed by the Exchange, as amended from time to time.
 - (iii) **"ITORS"** means Internet Based trading through Order Routing System, being a system approved by the Exchange for enabling clients to route their orders to their Member-brokers over the internet.
 - (iv) **"ITORS Account Application"** means the application submitted by the Client to the Member to permit the Client to avail of the Member's ITORS Service.
 - (v) **"ITORS Service"** or **"Service"** means the service offered by the Member to its clients through ITORS whereunder the clients can route their orders for purchase, sale and other dealings in securities through the Member's ITORS System.
 - (vi) **"Member's ITORS System"** or **"Member's ITORS WebSite"** means the website hosted by the Member on the internet through which the Member offers the ITORS Service and includes the hardware and software used for hosting and supporting the Website.
 - (vii) **"Password"** means an alphanumeric code used by the Client to validate his/her username and access the Service.
 - (viii) **"SEBI"** means the Securities & Exchange Board of India.
 - (ix) **"Username"** means an alphanumeric login identification used by the Client for accessing the Service.
- 1.2 In this Agreement, headings are used for convenience and ease of reference only and shall not affect the construction or interpretation of any provision of this Agreement.
- 1.3 In this Agreement, unless the context otherwise requires, reference to the singular includes a reference to the plural and vice-versa, and reference to any gender includes a reference to all other genders.
- 1.4 In this Agreement, unless the context otherwise requires, references to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this Agreement.
- 1.5 References to any enactment are to be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order or other provision made under it.

2. Agreement to provide and avail of the itors service:

The Member agrees to provide the Member's ITORS Service to the Client, and the Client, and the Client agrees to avail of the Member's ITORS Service on and subject to the terms and conditions of this Agreement, the Exchange Provisions and the terms of the Member's ITORS Web Site.

3. USER NAME AND PASSWORD:

- 3.1 The Client will be entitled to a username and password, which will enable him to access the Member's ITORS System for availing of the Service.
- 3.2 The Client is aware that the Member's ITORS System itself generates the initial password and that the Member is aware of the same. The Client agrees and undertakes to immediately change his initial password upon receipt thereof. The Client is aware that subsequent passwords are not known or available to the Member.

- 3.3 The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Member's ITORS System using the Client's Username and/or Password whether or not such person was authorised to do so.
- 3.4 The Client shall immediately inform the Member of any unauthorised use of the Client's Username or Password with full details of such unauthorised use including the date of such unauthorised use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorised use, etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorised use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on the Member's ITORS System and unauthorisedly routing orders on behalf of the Client through the System. The Client agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password and/or Username and also for any and all acts done by any person through the Member's ITORS System on the Client's Username in any manner whatsoever.
- 3.6 The Client shall log off from the ITORS Service at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall borne solely by the Client.
- 3.7 Without prejudice to the provisions of Clause 3.5, the Client shall immediately notify the Member in writing with full details if:
 - (i) he discovers or suspects unauthorised access through his Username, Password or Account,
 - (ii) he notices discrepancies that might be attributable to unauthorised access,
 - (iii) he forgets his password or
 - (iv) he discovers a security flaw in the Member's ITORS System.
- 3.8 In any of the above events specified in Clause 3.7, the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request the Member in writing to discontinue his old Password; and thereupon the Member shall cause the Member's ITORS System to discontinue the use of the Client's old Password and the Member's ITORS System shall generate a new Password for the Client which shall be communicated to the Client. At no point in time shall the Member be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse for the Password.

4. TRANSACTIONS AND SETTLEMENTS:

- 4.1 All orders for purchase, sale or other dealings in securities and other instructions routed through the Member's ITORS System via the Client's Username shall be deemed to have been given by the Client.
- 4.2 The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions.
- 4.3 the Member may from time to time impose and vary limits on the orders which the Client can place through the Member's ITORS System (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The Client is aware and agrees that the Member may need to vary or reduce the limits or impose new limits urgently on the basis of the Member's risk perception and other factors considered relevant by the Member, and the Member may be unable to inform the Client of such variation reduction or imposition in advance. The Client agrees that the Member shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Member's ITORS System on account of any such variation, reduction or imposition of limits. The Client understands and agrees that the Member may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities through the Member.

- 4.4. Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the Client on the Member's ITORS System, the Member shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.
- 4.5 The Client agrees that the Member may, at its sole discretion, subject any order placed by a Client to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.
- 4.6 In case of a market order, the Client agrees that the will receive the price at which his order is executed by the exchange's computer system; and such price may be different from the price at which the security is trading when his order is entered into the Member's ITORS System.

5. MARGIN:

The Client agrees and undertake to immediately deposit with the Member such cash, securities or other acceptable security, which the Member may require as margin. The Client agrees that the Member shall be entitled to require the Client to deposit with the Member a higher margin than that prescribed by the Exchange. The Member shall also be entitled to require the Client to keep permanently with the Member a margin of a value specified by the Member so long as the Client desires to avail of the Member's ITORS Service.

6. CANCELLATION REQUESTS

- 6.1 When the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Client's request for cancellation is received and the order is successfully cancelled before it is executed.
- 6.2 The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from the Member is received by the Client.
- 6.3 The Exchange may annul a trade suo-moto without giving a reason therefor. In the event of such annulment, the Member shall be entitled to cancel the relative contract(s) with the Client.

7. BROKERAGE, COMMISSIONS AND FEES

- 7.1 The Client agrees to pay the member brokerage, commission, fees, services tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transaction, and the services that he receives from the Member.
- 7.2 A schedule of brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by the Member to the Client from time to time upon request by the Client.

8. CONFIRMATIONS

Online confirmation will be available to the Client upon execution cancellation of an order placed by him through the Member's ITORS System. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other electronic means. It is the responsibility of the Client to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other electronic means, all confirmations of transactions of cancellations.

9. INVESTMENT ADVICE

- 9.1 The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice regarding the suitability or profitability of a security or investment.
- 9.2 The Client also acknowledges that the Member's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Member or any of its employees.
- 9.3 The Client agrees that in the event of the Member or any employee or official of the Member providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Member shall not be liable or responsible for the same.
- 9.4 The Client assumes full responsibility with respect to his investment decisions and transactions.



9.5 The Member, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

10. SUPPLEMENTAL TO MAIN MEMBER - CLIENT AGREEMENT :

This Agreement is supplemental to, and does not supersede, the Main Member-Client Agreement. Save the except as modified expressly or by implication by this Agreement the Exchange Provisions or the terms of the Member's ITORS Website, the provisions of the Main Member-Client Agreement shall apply *mutatis mutandis* to the extent applicable to dealings between the Member and the Client pursuant to or otherwise relating to the Member's ITORS Service.

11. REPRESENTATIONS AND WARRANTIES OF CLIENT

The Client represents and warrants to the Member that :

- 11.1 All the information provided and statements made in the Client's ITORS Account Application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and the Client is aware that the Member has agreed to provide the Member's ITORS Service to the Client on the basis, inter alia, of the statements made in the Client's ITORS Account Application.
- 11.2 The Client is aware and acknowledges that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals etc. which are susceptible to interruptions and dislocations; and the Member's ITORS Service may at any time be unavailable without further notice. The Member and the Exchange do not make any representation or warranty that the Member's ITORS Service will be available to the Client at all times without any interruption. The Client agrees that he 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 ITORS System or Service or the Exchange's service or systems for any reason whatsoever.
- 11.3 The Client has the required legal capacity to, and is authorised to, enter into this Agreement and is capable of performing his obligations and undertakings hereunder.
- 11.4 All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into pursuant to this Agreement with all applicable laws, shall be completed by the Client prior to such transaction being entered into.
- 11.5 The Client shall abide by the Exchange Provisions and the terms of the Member's ITORS Website in force from time to time.
- 11.6 Any instructions given by an authorised representative of the Client to the Member (or to the Member's representative) shall be binding on the Client.

12. REPRESENTATIONS AND WARRANTIES OF THE MEMBER :

The Member represents and warrants to the Client that :

The Member's ITORS System has been approved by the Exchange. Where the ITORS system has not been approved by the Exchange, the Member has applied/proposes to apply to the Exchange to approve the said ITORS System and the Member will commence the Member's ITORS Service only after the Exchange has approved the Member's ITORS System.

13. MARKET DATA

- 13.1 The Client understand that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Member or otherwise. The Client understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market date or any other market information, or any messages disseminated by it. Neither the Member nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information said, if the Client acts on the basis of the same, he shall do so at his own risk and cost.
- 13.2 The Client shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Client uses such information he shall do so at his own risk and cost.



14. NOTICES

14.1 Any notice or other communication to be given by any party to the other in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by e-mail to the addresses at the address or (as the case may be), the e-mail or facsimile number (if any), of that party set opposite its name below:

To the Member at :

Name of the person concerned :
Address :
Fax # :
e-mail :

To the Client at :

Name of the person concerned :
Address :
Fax # :
e-mail :

or at such other address, facsimile number or e-mail address as the party to be served may have notified the other in accordance with the provisions of this Clause.

Notwithstanding anything stated above, communication relating to orders, margins maintenance calls and other similar matters in the ordinary course of dealings between the Member and the Client may be communicated orally.

15. EXTRAORDINARY EVENTS

The Member and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rullings, suspension or trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond the Member's control.

16. AMENDMENT TO AGREEMENT

The Client understands and agrees that the Member may discontinue his ITORS Service in part or in its entirety and change the terms of the Service (including the terms on the Member's ITORS Website) at any time and from time to time, without prior notice.

17. TERMINATION OF AGREEMENT :

17.1 The Client agrees that the Member may at any time terminate this Agreement. The Client is aware and accepts that in view of the nature of the transactions and dealings involved in providing the Service it may not be possible for the Member to give advance notice of such termination or suspension to the Client.

17.2 The Client may at any time terminate this Agreement by not less than seven days notice to the Member, provided that unless the Member otherwise permits, the Client shall not be entitled to terminate this Agreement so long as any amount is payable or securities are deliverable by the Client to the Member.

17.3 The termination of this Agreement shall not affect any rights or obligations of either party which have accrued prior to the termination or which may arise out of or in connection with acts done or omitted prior to the termination.

17.4 The provisions of Clauses 14, 20 and 21 of this Agreement shall survive the termination of this Agreement.

18. SEVERABILITY

In the event of any provisions of this Agreement being held to be or becoming invalid, unenforceable or illegal for any reason, this Agreement shall remain otherwise in full force apart from the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provisions to the greatest extent possible.



19. WAIVER

No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Agreement shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provisions of this Agreement or be considered to be a waiver of any right, unless specifically agreed in writing.

20. LAW AND JURISDICTION

20.1 This Agreement shall be governed by the construed in all respects in accordance with the laws of the Republic of India and, subject to the provisions of Clause 21, the courts at Mumbai, India shall have jurisdiction over this Agreement and the arbitration proceedings in relation to the Agreement.

20.2 This Agreement and all contracts and transactions between the Member and the Client pursuant hereto shall be subject to the Exchange Provisions, the Rules, Bye-laws, Regulation and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 1992, the Securities Contracts (Regulation) Act of 1956 and the rules and regulations made thereunder and as amended from time to time.

21. DISPUTE RESOLUTION

Any claim dispute or difference arising between the Parties hereto in respect of this Agreement or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Agreement or the interpretation or construction of this Agreement shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement as of the day and year first above written.

SIGNED SEALED AND DELIVERED

By the with named Member

.....

Through the hands of its : Director/Authorized Signatory

SIGNED SEALED AND DELIVERED

By the with named Client _____

Through the hands of its _____

(61) 

in the presence of ...

Signature _____

Name _____

Address :
.....
.....

in the presence of ...

Signature _____

Name _____

Address : _____

(xv) SUPPLEMENTARY AGREEMENT BETWEEN STOCK BROKER & CLIENT (NSE)

(This agreement forms part and parcel of the agreement between stock broker and client)

This agreement is made at _____ this _____ day _____ between M/s.
(member of **National Stock Exchange of India Ltd.**) with SEBI Registration No. : INB/INF/INE.....)
hereinafter called MEMBER and having its registered office at
..... and _____ a individual/company/trust/firm or
any other body duly formed and registered under the relevant Act, hereinafter called the CLIENT, having its
residence/registered office at _____.

WITNESSTH :

Whereas the MEMBER is registered as TRADING MEMBER of National Stock Exchange of India Ltd. with SEBI
Registration No.: INB/INF/INE

Whereas the CLIENT is desirous of investing/trading in those securities admitted for dealing on the Exchange as defined in
the Byelaws of the Exchange.

Whereas the CLIENT has satisfied itself of the capability of the MEMBER to deal in securities and wishes to execute his
orders through him and the CLIENT shall continue to satisfy itself of such capability of the MEMBER before executing
orders through him.

Whereas the MEMBER has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of
the CLIENT and investment objective relevant to the services to be provided.

Whereas the MEMBER has taken steps and shall take steps to make the CLIENT aware of the precise nature of the
MEMBER's liability for business to be conducted, including any limitation on that liability and the capacity in which it acts.

In consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the
following terms and conditions :

1. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and
guidelines issued by SEBI and Stock Exchange rules, regulations and Bye-laws that may be in force from time to
time.
2. In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or
delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the
transaction of the client and client or his legal representative shall be liable for any losses, costs and be entitled to
any surplus which may result therefrom.
3. The agreement entered into between the MEMBER and the CLIENT shall terminated by mutual consent of the
parties at least one month written notice. Such cancellation or termination shall not have any effect on transaction
executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have
same obligations in respect of such transactions.
4. The instructions issued by an authorized representative of the client shall be binding on the client in accordance
with the letter authorizing the said representative to deal on behalf of the client.
5. The CLIENT is aware that authentication technologies and strict security measures are required for the internet
trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his
authorized representative are not revealed to any third party.
6. The CLIENT agreed that the MEMBER shall not be liable or responsible for non-execution of the orders of the
CLIENT due to any link/system failure at the CLIENT/MEMBERS/EXCHANGE end.
7. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such
cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
8. The MEMBER shall also send the Order/Trade confirmation slip through E-mail to the CLIENT at his request,
within _____ (time period as specified by the Client) from time to time of execution of order/trade on the NEAT
system, as the case may be. The CLIENT agrees that the information sent by MEMBER by E-mail is deemed to be a
valid delivery of such information by the MEMBER.



9. The CLIENT is aware that the MEMBER has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by the MEMBER's risk management, by the MEMBER and is also aware that the MEMBER has to discretion to reject the execution of such orders based on his risk perception.
10. The Member and the Client are aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
11. All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Delhi and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Delhi for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

Terms and Conditions in details are as under :

USER NAME AND PASSWORD:

1. The Client will be entitled to a username and password, which will enable him to access the Member's internet trading through order routed system for availing of the Service.
2. The Client is aware that the Member's internet trading through order routed system itself generates the initial password and that the Member is aware of the same. The Client agrees and undertakes to immediately change his initial password upon receipt thereof. The Client is aware that subsequent passwords are not known or available to the Member.
3. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Member's internet trading through order routed system using the Client's Username and/or Password whether or not such person was authorised to do so.
4. The Client shall immediately inform the Member of any unauthorised use of the Client's Username or Password with full details of such unauthorised use including the date of such unauthorised use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorised use, etc.
5. The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorised use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on the Member's internet trading through order routed system and unauthorisedly routing orders on behalf of the Client through the System. The Client agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password and/or Username and also for any and all acts done by any person through the Member's internet trading through order routed system on the Client's Username in any manner whatsoever.
6. The Client shall log off from the internet trading through order routed system at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall borne solely by the Client.
7. Without prejudice to the provisions of Clause above, the Client shall immediately notify the Member in writing with full details if:
 - (a) he discovers or suspects unauthorised access through his Username, Password or Account,
 - (b) he notices discrepancies that might be attributable to unauthorised access,
 - (c) he forgets his password or
 - (d) he discovers a security flaw in the Member's internet trading through order routed system.

In any of the above events specified in Clause above, the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request the Member in writing to discontinue his old Password; and thereupon the Member shall cause the Member's internet trading through order routed system to discontinue the use of the Client's old Password and the Member's internet trading through order routed system shall generate a new Password for the Client which shall be communicated to the Client. At no point in time shall the Member be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse for the Password.



TRANSACTIONS AND SETTLEMENTS:

1. All orders for purchase, sale or other dealings in securities and other instructions routed through the Member's internet trading through order routed system via the Client's Username shall be deemed to have been given by the Client.
2. The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions.
3. the Member may from time to time impose and vary limits on the orders which the Client can place through the Member's internet trading through order routed system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The Client is aware and agrees that the Member may need to vary or reduce the limits or impose new limits urgently on the basis of the Member's risk perception and other factors considered relevant by the Member, and the Member may be unable to inform the Client of such variation reduction or imposition in advance. The Client agrees that the Member shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Member's internet trading through order routed system on account of any such variation, reduction or imposition of limits. The Client understands and agrees that the Member may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities through the Member.
4. Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the Client on the Member's internet trading through order routed system, the Member shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.
5. The Client agrees that the Member may, at its sole discretion, subject any order placed by a Client to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.
6. In case of a market order, the Client agrees that the will receive the price at which his order is executed by the exchange's computer system; and such price may be different from the price at which the security is trading when his order is entered into the Member's internet trading through order routed system.

MARGIN:

The Client agrees and undertake to immediately deposit with the Member such cash, securities or other acceptable security, which the Member may require as margin. The Client agrees that the Member shall be entitled to require the Client to deposit with the Member a higher margin than that prescribed by the Exchange. The Member shall also be entitled to require the Client to keep permanently with the Member a margin of a value specified by the Member so long as the Client desires to avail of the Member's internet trading through order routed system.

CANCELLATION REQUESTS

1. When the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Client's request for cancellation is received and the order is successfully cancelled before it is executed.
2. The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from the Member is received by the Client.
3. The Exchange may annul a trade suo-moto without giving a reason therefor. In the event of such annulment, the Member shall be entitled to cancel the relative contract(s) with the Client.

BROKERAGE, COMMISSIONS AND FEES

1. The Client agrees to pay the member brokerage, commission, fees, services tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transaction, and the services that he receives from the Member.
2. A schedule of brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by the Member to the Client from time to time upon request by the Client.

CONFIRMATIONS

1. Online confirmation will be available to the Client upon execution cancellation of an order placed by him through the Member's internet trading through order routed system. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other electronic means. It is the responsibility of the Client to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other electronic means, all confirmations of transactions of cancellations.



INVESTMENT ADVICE

1. The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice regarding the suitability or profitability of a security or investment.
2. The Client also acknowledges that the Member's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Member or any of its employees.
3. The Client agrees that in the event of the Member or any employee or official of the Member providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Member shall not be liable or responsible for the same.
4. The Client assumes full responsibility with respect to his investment decisions and transactions.
5. The Member, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

SUPPLEMENTAL TO MAIN MEMBER - CLIENT AGREEMENT :

1. This Agreement is supplemental to, and does not supersede, the Main Member-Client Agreement. Save the except as modified expressly or by implication by this Agreement the Exchange Provisions or the terms of the Member's internet trading through order routed system Website, the provisions of the Main Member-Client Agreement shall apply *mutatis mutandis* to the extent applicable to dealings between the Member and the Client pursuant to or otherwise relating to the Member's internet trading through order routed system.

REPRESENTATIONS AND WARRANTIES OF CLIENT

The Client represents and warrants to the Member that :

1. All the information provided and statements made in the Client's internet trading through order routed system Account Application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and the Client is aware that the Member has agreed to provide the Member's internet trading through order routed system to the Client on the basis, inter alia, of the statements made in the Client's internet trading through order routed system Account Application.
2. The Client is aware and acknowledges that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals etc. which are susceptible to interruptions and dislocations; and the Member's internet trading through order routed system may at any time be unavailable without further notice. The Member and the Exchange do not make any representation or warranty that the Member's ITORS Service will be available to the Client at all times without without any interruption. The Client agrees that he 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 internet trading through order routed system or Service or the Exchange's service or systems for any reason whatsoever.
3. The Client has the required legal capacity to, and is authorised to, enter into this Agreement and is capable of performing his obligations and undertakings hereunder.
4. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into pursuant to this Agreement with all applicable laws, shall be completed by the Client prior to such transaction being entered into.
5. The Client shall abide by the Exchange Provisions and the terms of the Member's internet trading through order routed system Website in force from time to time.
6. Any instructions given by an authorised representative of the Client to the Member (or to the Member's representative) shall be binding on the Client.

REPRESENTATIONS AND WARRANTIES OF THE MEMBER :

The Member represents and warrants to the Client that :

1. The Member's internet trading through order routed system has been approved by the Exchange. Where the internet trading through order routed system has not been approved by the Exchange, the Member has applied/proposes to apply to the Exchange to approve the said internet trading through order routed system and the Member will commence the Member's internet trading through order routed system only after the Exchange has approved the Member's internet trading through order routed system.

MARKET DATA

- 1. The Client understand that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Member or otherwise. The Client understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market date or any other market information, or any messages disseminated by it. Neither the Member nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information said, if the Client acts on the basis of the same, he shall do so at his own risk and cost.
- 2. The Client shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Client uses such information he shall do so at his own risk and cost.

NOTICES

- 1. Any notice or other communication to be given by any party to the other in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by e-mail to the addresses at the address or (as the case may be), the e-mail or facsimile number (if any), of that party set opposite its name below:

To the Member at :

Name of the person concerned :

Address :

Fax # :

e-mail :

To the Client at :

Name of the person concerned :

Address :

Fax # :

e-mail :

EXTRAORDINARY EVENTS

- 1. The Member and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rullings, suspension or trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond the Member's control.

AMENDMENT TO AGREEMENT

- 1. The Client understands and agrees that the Member may discontinue his internet trading through order routed system in part or in its entirety and change the terms of the Service (including the terms on the Member's internet trading through order routed system Website) at any time and from time to time, without prior notice.

TERMINATION OF AGREEMENT :

- 1. The Client agrees that the Member may at any time terminate this Agreement. The Client is aware and accepts that in view of the nature of the transactions and dealings involved in providing the Service it may not be possible for the Member to give advance notice of such termination or suspension to the Client.
- 2. The Client may at any time terminate this Agreement by not less than seven days notice to the Member, provided that unless the Member otherwise permits, the Client shall not be entitled to terminate this Agreement so long as any amount is payable or securities are deliverable by the Client to the Member.
- 3. The termination of this Agreement shall not affect any rights or obligations of either party which have accrued prior to the termination or which may arise out of or in connection with acts done or omitted prior to the termination.
- 4. The provisions of Clauses 14, 20 and 21 of this Agreement shall survive the termination of this Agreement.



SEVERABILITY

- 1. In the event of any provisions of this Agreement being held to be or becoming invalid, unenforceable or illegal for any reason, this Agreement shall remain otherwise in full force apart from the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provisions to the greatest extent possible.

WAIVER

- 1. No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Agreement shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provisions of this Agreement or be considered to be a waiver of any right, unless specifically agreed in writing.

LAW AND JURISDICTION

- 1. This Agreement shall be governed by the construed in all respects in accordance with the laws of the Republic of India and, subject to the provisions of Clause above, the courts at Mumbai, India shall have jurisdiction over this Agreement and the arbitration proceedigns in relation to the Agreement.
- 2. This Agreement and all contracts and transactions between the Member and the Client pursuant hereto shall be subject to the Exchange Provisions, the Rules, Bye-laws, Regulation and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 1992, the Securities Contracts (Regulation) Act of 1956 and the rules and regulations made thereunder and as amended from time to time.

DISPUTE RESOLUTION

Any claim dispute or difference arising between the Parties hereto in respect of this Agreement or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Agreement or the interpretation or construction or this Agreement shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement as of the day and year first above written.

SIGNED SEALED AND DELIVERED

By the with named Member

.....

Through the hands of its : Director/Authorized Signatory

(67) 

in the presence of ...

Signature _____

Name _____

Address :
.....
.....

SIGNED SEALED AND DELIVERED

By the with named Client _____

Through the hands of its _____

in the presence of ...

Signature _____

Name _____

Address : _____

■ VOLUNTARY DOCUMENT (CLIENT CAN REVOK AT ANY POINT OF TIME)

To,
The Director
Amrapali Capital & Finance Services Ltd.

Sub. : Request for renewal of Running Account Authorization

Ref. : Client Code _____

With reference to above, please treat my consent for running account authorization renewed for the financial year : _____

 _____

Date : - - 2 0 1

■ VOLUNTARY DOCUMENT (CLIENT CAN REVOK AT ANY POINT OF TIME)

To,
The Director
Amrapali Capital & Finance Services Ltd.

Sub. : Request for renewal of Running Account Authorization

Ref. : Client Code _____

With reference to above, please treat my consent for running account authorization renewed for the financial year : _____

 _____

Date : - - 2 0 1

■ VOLUNTARY DOCUMENT (CLIENT CAN REVOK AT ANY POINT OF TIME)

To,
The Director
Amrapali Capital & Finance Services Ltd.

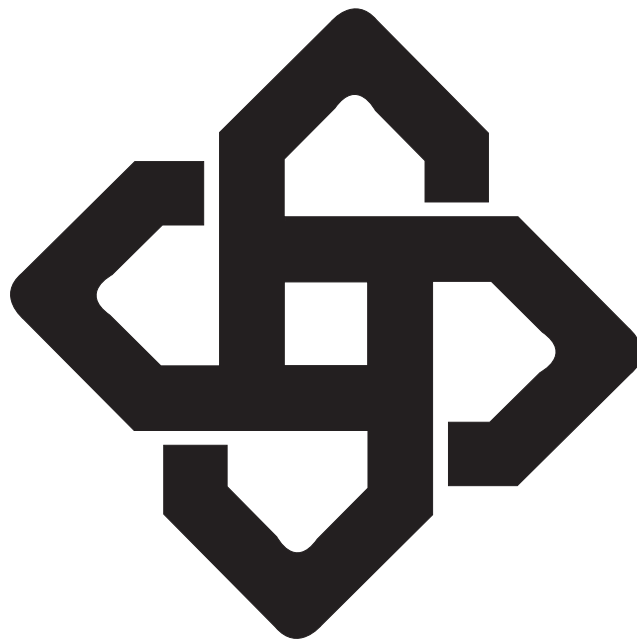
Sub. : Request for renewal of Running Account Authorization

Ref. : Client Code _____

With reference to above, please treat my consent for running account authorization renewed for the financial year : _____

 _____

Date : - - 2 0 1



Amrapali Capital and Finance Services Ltd.

**Regd. Office :Shop No. 3, Ashoka Complex, Ground Floor,
B/h. Woodland Hotel, Naroli Cross Road, Silvassa.**

Phone : 0260-2631329

Web Site : www.amrapali.com