

Application No. :

INDIVIDUAL  
**CLIENT**  
REGISTRATION  
FORM



Branch Name/ AP:

Client Name:

PAN Number:

RM Name & Code:



## INDEX OF DOCUMENTS

### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
1.	KRA Form and Account Opening Form (Annexure 1)	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.	1 - 7
2.	Nomination	Nominate for Security account	
3.	Tariff sheet	Document detailing the rate / amount of brokerage & other charges levied on the client for trading on Securities Exchange(s).	8
4.	Risk Disclosure Document (RDD) (Annexure 2)	Document detailing risks associated with dealing in the Securities Market.	Separate copy provided to client. Also made available at <a href="http://www.espscapital.com">www.espscapital.com</a>
5.	Rights & Obligations of Members, Authorised Persons & Clients (Annexure 3)	Document stating the Rights & Obligations of member, Authorised Person and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	
6.	Guidance Note - Do's & Don'ts for the Investors (Annexure 4)	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	

### VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Running Account Authorization	Maintaining Running Balance in clients account	9
2.	Declaration for Common Mobile No./ E-mail ID	Common Mobile Number/E-mail ID for Demat and Trading Account in more than one account	9
3.	Letter of Authorisation	Letter where in Client Authorized Stock Broker to maintain running account and to accept Verbal order extra.	10
4.	Voluntary Document	Additional terms & conditions specific to clients for the 13 to 17 purpose of operational efficiency.	10-14
5.	POA	Power of Attorney	15

### IMPORTANT NOTE

#### 1. Signature Types:



Signature of Client



Signature of Guardian



Signature of AP / Introducer



Signature of First Witness



Signature of Second Witness



Authorised Signatory of Member

### IMPORTANT INSTRUCTIONS

- All details to be filled in Capital Block letters in Black / Blue Ink Only.
- Email ID & Mobile number is mandatory for account related passwords and transaction details.
- Corrections in the KYC form should be counter signed.
- Strike off whichever option, in the account opening form, is not applicable.
- All Originals to be produced for physical verification.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.

**In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature**

## KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

	Acceptable Documents (Copies of all documents to be self attested)	Please Tick
<b>Important Points</b>	1. Self attested copy of PAN card is mandatory	<input type="checkbox"/>
	2. One colored front face photo (passport size)	<input type="checkbox"/>
	3. Any POI or POA is in regional language, then translation into English is required	<input type="checkbox"/>
	4. Sole proprietor must make the application in his individual name & capacity	<input type="checkbox"/>
<b>Proof of Identity (POI) (Any One)</b>	1. Unique identification number (UID) (Aadhaar)	<input type="checkbox"/>
	2. Valid Passport (Name, Address & Photo page)	<input type="checkbox"/>
	3. Voter ID (front and back)	<input type="checkbox"/>
	4. Valid Driving License (Name, Address & Photo page)	<input type="checkbox"/>
	5. PAN Card	<input type="checkbox"/>
	6. Other 1 (Pls. Specify) _____	<input type="checkbox"/>
<b>Proof of Address (POA) (Any One)</b> Permanent / Correspondence	1. Valid Passport (Name, Address & Photo page)	<input type="checkbox"/>
	2. Voter ID (front and back)	<input type="checkbox"/>
	3. Valid Driving License (Name, Address & Photo page)	<input type="checkbox"/>
	4. Unique identification number (UID) (Aadhaar)	<input type="checkbox"/>
	5. Bank Statement/Passbook (not more than 3 months old must contain complete address of client)	<input type="checkbox"/>
	6. Banker's Verification Letter	<input type="checkbox"/>
	7. Electricity Bill (not more than 3 months old)	<input type="checkbox"/>
	8. Resident Landline Tel. Bill (not more than 3 months old)	<input type="checkbox"/>
	9. Registered Flat Sale Agreement of Residence	<input type="checkbox"/>
	10. Registered Lease/Leave & License Agreement	<input type="checkbox"/>
	11. Ration Card	<input type="checkbox"/>
<b>Bank Proof With MICR / IFSC Code</b>	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	<input type="checkbox"/>
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)	<input type="checkbox"/>
	3. Cancelled Personalized Cheque leaf	<input type="checkbox"/>
<b>Demat Proof (Any One)</b>	1. Client Master (CML copy duly attested by CP)	<input type="checkbox"/>
	2. CP Statement / Transaction cum Holding Statement	<input type="checkbox"/>
<b>Proof of Income (Any One)</b> Mandatory for Security derivatives	1. Copy of ITR Acknowledgement	<input type="checkbox"/>
	2. In case of salary income - Salary Slip, Copy of Form 16	<input type="checkbox"/>
	3. Net-worth certificate (Not more than 1 year old)	<input type="checkbox"/>
	4. Copy of Demat Account Holding Statement	<input type="checkbox"/>
	5. Bank Account Statement for last 6 months reflecting income	<input type="checkbox"/>
	6. Annual Accounts	<input type="checkbox"/>
	7. Any other relevant documents	<input type="checkbox"/>

### FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name		
1.	Are you U.S. Person? (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other
3.	Specify country of citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other

**Note:** If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration form can be downloaded from <http://www.espscapital.com> or call at centralized helpdesk at Toll free : 1800 267 6520 or write to [compliance@espscapital.com](mailto:compliance@espscapital.com)

Client Signature

**FIRST HOLDER**
**ANNEXURE 1 - PART 1**
**KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)**


Application No. :

Please fill in English &amp; in BLOCK LETTERS with black/blue ink &amp; tick the appropriate options

**A. IDENTITY DETAILS**

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME
2. Maiden Name	FOR MARRIED WOMEN ONLY		
3. Father's/Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME
4. Mother Name			
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		
b. Date of birth	DD / MM / YYYY	c. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others
6. Inationality	<input type="checkbox"/> Indian	7. Status	<input type="checkbox"/> Resident Individual
	<input type="checkbox"/> Other		<input type="checkbox"/> Non Resident
	<input type="checkbox"/> Please specify		<input type="checkbox"/> Foreign National
8. PAN		Aadhaar	

**PHOTOGRAPH**  
 Please affix your recent passport and sign across it




9. Specify the proof of Identity submitted :

**B. ADDRESS DETAILS**

1. Residence / Correspondence Address			
City/Town/Village		District	
Pin Code		State	Country
2. Contact/Mobile No.		Tel (Res.)	
Tel (Off.)		Email id	
3. Specify the proof of address submitted for Residence / Correspondence Address:			
4. Permanent Address <small>(if different from above mandatory for non-resident applicant to specify overseas address)</small>			
City/Town/Village		District	
Pin Code		State	Country

**DECLARATION**


I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place		Signature of Applicant	
Date	DD / MM / YYYY		

**FOR OFFICE USE ONLY**

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.

I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available on our website [www.espscapital.com](http://www.espscapital.com), for the information of the clients.

Details of Employee/ Authorized Signatory	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	
Name & E Code			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			

**SECOND HOLDER**
**ANNEXURE 1 - PART 1**
**KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)**


Application No. :

Please fill in English &amp; in BLOCK LETTERS with black/blue ink &amp; tick the appropriate options

**A. IDENTITY DETAILS**

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME
2. Maiden Name	FOR MARRIED WOMEN ONLY		
3. Father's/Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME
4. Mother Name			
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		
b. Date of birth	DD / MM / YYYY	c. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others
6. Inationality	<input type="checkbox"/> Indian	7. Status	<input type="checkbox"/> Resident Individual
	<input type="checkbox"/> Other		<input type="checkbox"/> Non Resident
	<input type="checkbox"/> Please spccify		<input type="checkbox"/> Foreign National
8. PAN		Aadhaar	
9. Specify the proof of Identity submitted :			

**PHOTOGRAPH**  
 Please affix your recent passport and sign across it




**B. ADDRESS DETAILS**

<b>1. Residence / Correspondence Address</b>			
City/Town/Village		District	
Pin Code	State	Country	
<b>2. Contact/Mobile No.</b>		Tel (Res.)	
Tel (Off.)		Email id	
<b>3. Specify the proof of address submitted for Residence / Correspondence Address:</b>			
<b>4. Permanent Address</b> <small>(if different from above mandatory for non-resident applicant to specify overseas address)</small>			
City/Town/Village	District		
Pin Code	State	Country	

**DECLARATION**


I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place		Signature of Applicant	
Date	DD / MM / YYYY		

**FOR OFFICE USE ONLY**

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.

I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available on our website www.espscapital.com, for the information of the clients.

Details of Employee/ Authorized Signatory	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	
Name & E Code			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			

## ANNEXURE 1 - PART 2

### A. DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole / First Holder	Second Holder	Third Holder
Name			
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional
Brief details:			

### B. TYPE OF ACCOUNT

Status	Sub-Status
Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c ( Mantra)
NRI	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual - HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify) _____
	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI -Non-Repatriable <input type="checkbox"/> NRI -Repatriable Promoter <input type="checkbox"/> NRI -Non - Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts <input type="checkbox"/> Others (Specify) _____

### C. BANK DETAILS ( DIVIDEND BANK DETAILS )

	Bank 1 Details	Bank 2 Details
Bank Name		
Bank Address		
City/Town/Pincode		
State/Country		
Account No.		
Account Type	Savings/Current/Others in case of Others (please specify)	Savings/Current/Others in case of Others (please specify)
MICR Code		
IFSC Code		

### D. FINANCIAL DETAILS

Gross Annual Income	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs <input type="checkbox"/> >1 Crore
	<b>OR</b> Net Worth in (*Net worth should not be older than 1 year) as on date DD / MM / YYYY
Occupation (For Individuals Only) (please tick any one and give brief details)	<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Others: (Pls Specify)

### E. PAST ACTIONS




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

### F. DEPOSITORY ACCOUNT DETAILS

	DP 1 Details	DP 2 Details
Depository	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP Name		
Client Name		
DP ID	12082900	
BO ID		



**G. TRADING PREFERENCES (Tick Which ever is applicable)**

Exchange	Segment	Signature of the Applicant
NSE / BSE	Cash <input type="checkbox"/>	
NSE	F&O <input type="checkbox"/>	
BSE	CDS <input type="checkbox"/>	

# If, in future, the client wants to trade on any new segment/ new exchange, separate authorization / letter should be taken from the client by the stock broker.

**H. DEALING THROUGH OTHER STOCK BROKERS**

If Yes, please specify:

Name of Stock Broker	Name of AP
Name of Exchange	Client Code (as given by other broker)

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

Whether you are a Member of any Exchange

If yes, provide SEBI REGISTRATION NO:

**I. INTRODUCER DETAILS ( Optional )**

Status of Introducer  AP  Existing Client  Others (Specify):

Introducer Name: AP/Emp:

Address:

Mobile No:	Signature of the AP / Introducer 
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**J. STANDING INSTRUCTIONS**

I/We instruct the DP to receive each and every credit in my/our account ( If not marked, the default option would be 'Yes' )	[ Automatic Credit ] <input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. ( If not marked, the default option would be 'No' )	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Whether you wish to receive rights & obligation, uniform RDD, Do s & Donts either in electronic form or physical note	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
I/We request you to send Electronic Transaction-cum-Holding Statement at the Email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/ We wish to receive dividend/interest directly in to my bank account as given below through ECS (If not marked, the default option would be Yes) [ECS is mandatory for locations notified by SEBI from time to time ]	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We request that I/We may be provide with the copy of Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and Depositories in the following form ( Please tick the applicable box )	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (through E-mail)

<b>Whether you wish to receive Physical Contract Note (PCN) or Electronic Contract Note (ECN) Specify your Email ID, if applicable</b>		<input type="checkbox"/> Electronic <input type="checkbox"/> Physical									
<b>Whether you wish to avail of the facility of internet trading/wireless technology</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No									
<b>I/We do not wish to opt for BSDA facility ( tick applicable box )</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No									
<b>SMS Alert Facility</b> Refer to T&C given as Annexure - 2.4	Mobile No. <input type="text"/> [[Mandatory , if you are giving Power of Attorney ( POA)] [If POA is not granted & you do not wish to avail of this facility, cancel this option].	<input type="checkbox"/> Yes <input type="checkbox"/> No									
<b>Transactions Using Secured Texting Facility (TRUST). Refer to T&amp;C Annexure 2.6</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the terms and conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name/ID</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name/ID	Clearing Member ID (Optional)							<input type="checkbox"/> Yes <input type="checkbox"/> No
Stock Exchange Name/ID	Clearing Member Name/ID	Clearing Member ID (Optional)									
<b>Easi</b>	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No									

#### Receive Delivery Instruction Slip

- I / We request you to issue Delivery Instruction Slip (DIS) booklet to me / us on opening my / our CDSL account through I / We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with Tradenext Securities Limited for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.
- I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with IMSPL for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later day.

#### Account Statement Requirement

- As per SEBI Regulation  Daily  Weekly  Fortnightly  Monthly

#### GUARDIAN DETAILS (where sole holder is a minor):

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name	PAN Card
Relationship of guardian with minor	

#### NOMINATION OPTION

- I/We wish to make a nomination  I/We do not wish to make a nomination

#### DECLARATION

- 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.
- 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.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document'. 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.

Date: DD / MM / YYYY

 7/15

 3/6

 1/4

Place : (First/Sole Holder Signature) (Second Holder Signature) (Third Holder Signature)



**NOMINATION**

<b>Nomination Registration No.</b>		<b>Date:</b>	<b>dd-mm-yyyy</b>
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I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- I/We do not wish to nominate any one for this demat account.                      OR
- I/We nominate the following person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

**BO Account Details**

<b>DP ID :</b>	<b>12082900</b>	<b>Client ID :</b>							
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<b>Name of the First Holder</b>	
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<b>Name of the Second Holder</b>	
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<b>Name of the Third Holder</b>	
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Nomination Details	Nominee 1	Nominee 2	Nominee 3
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<b>Nominee Name :</b>			
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<b>* First Name:</b>			
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<b>Middle Name:</b>			
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<b>*Last Name</b>			
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<b>*Address</b>			
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<b>* City</b>			
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<b>* State</b>			
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<b>* Pin</b>			
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<b>* Country</b>			
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<b>Telephone No.</b>			
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<b>Fax No.</b>			
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<b>PAN No.</b>			
----------------	--	--	--

<b>UID</b>			
------------	--	--	--

<b>Email ID</b>			
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<b>* Relationship with the BO:</b>			
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<b>Date of birth( Mandatory if Nominee is a minor)</b>	<b>dd-mm-yyyy</b>	<b>dd-mm-yyyy</b>	<b>dd-mm-yyyy</b>
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<b>Name of the Guardian of Nominee (if nominee is a minor)</b>			
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<b>*First Name:</b>			
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<b>Middle Name:</b>			
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<b>*Last Name</b>			
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<b>*Address of the Guardian of nominee</b>			
--	--	--	--

<b>*City</b>			
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<b>*State</b>			
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<b>*Pin</b>			
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<b>*Country</b>			
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<b>Age</b>			
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Nomination Details	Nominee 1	Nominee 2	Nominee 3
Telephone No.			
Fax No.			
Email ID			
*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Notes:** Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

\* **Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us. Note: One witnesses shall attest signature(s)/Thumb impression(s).

Signature of Witness:



Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

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



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

Date : DD / MM / YYYY

Place: \_\_\_\_\_

## BROKERAGE DETAILS

Name	Silver <input type="checkbox"/>	Gold <input type="checkbox"/>	Premium <input type="checkbox"/>	Diamond <input type="checkbox"/>	Platinum <input type="checkbox"/>
Margin (INR)	0 to 10 lakh	10 to 25	25 to 50	50 to 1 Cr	1 Cr & Above
BROKERAGE					
Cash Delivery	0.30	0.25	0.20	0.15	0.10
Cash Intraday	0.03	0.025	0.02	0.015	0.01
Futures	0.02	0.02	0.02	0.015	0.01
Options Per Lot	50	40	30	20	10
Currency	25	20	15	10	7
Account Opening Fees	250	250	250	Free	Free

## OTHER CHARGES

Stamp Duty      
 Statutory Charges      
 GST      
 STT      
 SEBI FEE

## CHARGES FOR DEPOSITORY SERVICES

A	Annual Maintenance Charges (AMC)	Individual	Corporate
		Rs. 300/- + GST	RS. 1500/- + GST
B	Transaction Charges	Market	Off-Market
	BUY	NIL	NIL
	SELL	Rs. 10/- + Rs.5.50 (CDSL Charges)	0.03% or Rs. 25/- whichever is higher
C	DEMAT/REMAT	Rs. 130/- per Certificate	CDSL Charges as applicable
D	Pledge/Unpledge/Pledge Invocation	Rs. 20/- + Rs. 12/- (CDSL Charges) per request	CDSL charges not applicable for invocation
E	Delivery Instruction Slip	Rs. 100/- per booklet (10 Leaves)	
F	KRA upload/download	Rs. 50/-	
G	Cheque Bounce Charges	Rs. 350/-	

### NOTE :

- Minimum Brokerage will be applicable for F&O trading.
- Brokerage rate will not exceed the maximum rate as prescribed by SEBI / Exchanges.
- All regulatory and statutory levies will be charged at Actual to the client, based the rate prevailing from time to time.
- Fees schedule based on existing CDSL charges and is subject to change at the sole discretion of the Tradenext Securities Limited after giving 30 days notice.
- GST Tax extra as applicable.
- All charges are payable monthly.
- All reference prices will be BSE price.
- There will be no on Market Transfer Charges for Pay In into Tradenext Securities Limited w.e.f. 01.04.2006.
- I/We authorise TSL to collect my/our DP charges from my trading account.



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

Date : DD / MM / YYYY  
Place: \_\_\_\_\_

## APPENDIX A : RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)

With reference to my/our Trading Account with you on Capital Market and/or Future & Options segment and/or currency derivative segment of the Bombay Stock Exchange, & National Stock Exchange of India Limited As my/our broker I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instruction given below;

1. I/We request you to maintain running balance in my account and retain the credit balance in my/ our account and to use the unused fund towards my/our margin/payin/other future obligation(s) at any segment(s) of any or all the exchange(s)/clearing corporation unless I/We instruct you otherwise.
2. I/We hereby authorize and direct you to maintain running account(s) for me/us and from time to time debit these securities and fund from running accounts and make pay-in of securities and funds to exchanges/clearing corporation to settle my/our trades/dealing.
3. I/We also authorise you to retain temporary credits / margin if any in my/our account.
4. In the event I/We have outstanding obligation on the settlement date, you may retain the requisite

securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.

5. You are also authorised to retain Rs. 10,000/- in my/our trading account while settling my / our trading account.
6. I agree that if I/We fail to bring any disputes arising from the statement of accounts or settlement so made to your notice within 30 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery then in that event the statement of accounts or settlement so made shall be final and I/We shall have no right to dispute any/either of these ever.
7. I/ We reserve the right to revoke the running account authorization at any time.
8. I/We authorize you to settle my accounts (funds & securities) on either.
  - Once in a Calendar Quarter
  - Once in a Month

Client Signature


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## SAME MOBILE NUMBER/EMAIL OR BOTH FOR TRADE CONFIRMATION

I \_\_\_\_\_ a client of Tradenext Securities Limited. (TSL) with client code \_\_\_\_\_, hereby confirm that I am a family member:  
 Self  Spouse  Dependent Children  Dependent Parent of your client \_\_\_\_\_ (herein referred as master client) having client code \_\_\_\_\_. I request and give you the mandate to provide the SMS/Email/both (SMS & Email) confirmation on the same mobile number and Email ID

as that of the Master client as mentioned in the KYC Application form.

I hereby understand all the risk that can arise in future due to this and take all the responsibilities for the same. I also agree that TSL will not be responsible for any loss/problem/unauthorized trading claim if arises in any of the scenario out of this.

Client Signature


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## ARRANGEMENT WITH AUTHORISED PERSON

I/We confirm that I/we have been introduced to Tradenext Securities Limited (TSL) by an Authorised Person (AP) (as per mentioned below) appointed by TSL pursuant to relevant Exchange(s) norms. In this connection I/we am/are aware of the following: The AP shall not receive or pay any money or securities in his/her/its own name or account. All receipts and payments of securities and funds shall be made only in the name of the TSL; The AP shall receive his/its remuneration-fees, charges, commissions, salary etc for his/its services only from the TSL and he/ she/it shall not charge any amount whatever from the client; In view of the foregoing, I/we acknowledged that the AP is not authorised by TSL to enter into any private arrangement with any clients of TSL including those introduced by him/her/it.

I/we further agree and accept that I/we will not hold TSL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of any error of commission or omission by the AP with regard to any dealing and or transaction based on or transactions base on or resulting out of any private agreements (if any). Between me/us and the AP. I/we agree that all debit instruction slips and other documents in respect of my/our depository Beneficial Owner account with Tradenext Securities Limited (TSL) shall not be left in the custody of the AP, either blank, partially filled up and/or executed/signed. I/ we further agree and accept that I/we will not hold TSL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of my/ our action in leaving such blank, partially filled up and/or executed/signed documents with the AP.

I/We hereby agree for the arrangement with the client Accepted by Authorised Person

Client Signature


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AP Signature



AP Name

## AUTHORISATION FOR TRANSFER OF FUNDS AND / OR SECURITIES, INTER SEGMENT AND INTER EXCHANGE

I / We hereby authorize you as under:

1.To transfer funds and/or securities from my /our account in one segment against my/our obligations in another segment in the same exchange or different exchange.

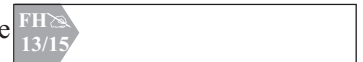
2.To transfer funds and/or securities from my/our account in one in one segment against collaterals/margin for my/our trade in another segment against collaterals /margin for my/ our trade in another segment in the same Exchange or different Exchange.

I/We am/are aware that the funds means monies that is lying as credit in my/our account or pay-outs that are to

be received from the exchanges arising out of sale securities. Similarly, I/We am/are aware that securities means, shares lying with you, on my/our behalf, for which I/We have fully paid for or margin or shares that are to be received as pay- out from the Exchange/s.

The above transfer of funds can be done either by way of journal entry (JV) or by way of physically exchanging cheques. In case if I/We wish to withdraw this authorization, I/We shall inform TSL in writing and acknowledge by TSL at least 15 day in advance from the date of withdrawal.

Client Signature



## VOLUNTARY TERMS AND CONDITIONS

### 1. Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

### 2. Setting up clients exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place a) through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of b) which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.). and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker 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 stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not c) limited to the reason of lack of margin/securities or the order being outside

the limits set by stock broker/exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

### 3. Imposition of penalty / delayed payment charges:

3.1 In case of delay in payment by the client to TSL on its due date, TSL in respect of such delayed payment will be entitled to recover late / delayed payment charges from due date. The said delayed payment shall include amounts payable by the client to TSL in respect of Initial margin, Mark to Market, shortfall of Margin(s) in prescribed modes, and /or other margins and pay in obligations. Late payment charges will be levied up to 2% per month or a part of month on delayed payment for the delayed period . The trade of the client may not be executed by TSL if the client does not clear trade related dues along with delayed payment charges. The client will not be entitled to any interest on the credit balance /excess margin available /kept with TSL.

3.2 A delayed payment charge is applied to act only as deterrent measure . The client should not consurate it as funding arrangement. The client cannot demand continuation of service on a continued basis citing levy of delayed payment charges .

3.3 TSL may impose fines /penalties for any order/ trades/deal /actions of the clients which are contrary to



this mandatory and voluntary Client Registration documents/rules/regulations/byelaws of the exchange or any other law for the time being in force at such rates and in such form as it may deem fit. Further where the TSL has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the order /trades /deal/actions of the client, the same will be borne by the client.

**4. Shortage in Obligations arising out of internal netting trades.**

**4.1** Stock broker 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 stock broker from the exchange, the clearing corporation / clearing house or any other company or entity liable to make the payment and the client has fulfilled his/her/its obligation first.

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

**BSE**

**On Pay-In-Day**

1. The short delivering client is debited by an amount (provisional) equivalent to closing price of T day.
2. The internal shortages will be reported to the Exchange for auction on the pay in date of a particular settlement.

**On Auction-Day**

1. The final amount will be debited to the client as per the Exchange auction/Closeout price along with reversal entry of provisional amount debited earlier.

**NSE**

**On Pay-In-Day**

1. The short delivering client is debited by an amount (provisional) equivalent to closing price of T+1 day.
2. The internal shortages will be purchased from the market and the purchase considerations (brokerage, other charges, statutory taxes & levies) is debited to the short delivering (seller) client.

**On Auction-Day**

1. Provisional amount debited will be reversed on this day.

If the securities cannot be purchased from market due to any force majeure condition (Circuit filter, corporate action or any other reasons), the short delivering seller is debited at Closed out rate. Close out rate will be highest price prevailing in the NSE from the day of the trading till the auction day or 20% above the official closing price on the auction day, whichever is higher and buyer will be credited at Closed out rate.

**5. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

**6. Temporarily suspending or closing a client's account at the client's request**

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

**7. De-registering a client :-**

Not withstanding anything to the contrary stated in the mandatory and non-mandatory client registration documents, the stock broker shall be entitled to terminate the mandatory and non-mandatory client registration documents with immediate effect in any of the following circumstances:

- (i) If the action 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.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other mandatory and non-mandatory client registration documents with the Stock broker;
- (vi) 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;
- (vii) If the Client is in breach of any term, condition or covenant of this mandatory and non-mandatory client registration documents;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

**8.** The Client agrees that TSL will not be responsible for partial execution of orders placed by the Client. The Client also agrees that all orders placed by him shall be treated as orders for that particular session only. In case



the Client wants the orders to be carried forward or extended for the day or for more number of days he shall communicate the same to TSL.

**9. Undertaking for Services by way of SMS alerts / Whatsapp or any electronic mode by Trading Member on Mobile /Cellular phones or any other electronic gadgets.**

I / we are having a trading account with Tradenext Securities Limited. for the purpose of trading on Exchanges as per the client registration document executed. I / we have registered the Mobile No. as mentioned in KYC Application form for receiving SMS alerts in respect of various services being offered by you including Trading Calls.

**A.** In respect of investment/trading advisory services received from the trading member, I/We undertake to the trading member and confirm to use our own judgement in taking a call on the said investment(s).

I/We also undertake to the trading member and confirm that I/we execute trades in the identified security(s) according to my/our financial strength/capability.

I/We declare and agree that the trading member shall not be responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of the SMS alerts(s) and / or investment advises sent by the trading member.

I/We shall not have any claim whatsoever against the trading member in respect of the above mentioned acts or omissions.

I /We hereby state that my number is not under Do Not disturb directory and I /We am availing this services on my own will and there will be no financial obligation of TSL in case of legal disputes.

**B.** In respect of all other intimation services offered by the trading member, I/We undertake to indemnify the trading member and absolve the trading member of any claims on account of various services rendered to me/us in respect of servicing my trading account with them.

**10. Digitally signed Contract Notes/ Statement of Accounts: The Client hereby agrees and permits TSL to provide digitally signed contract notes through internet (web-based) and agrees as under:**

**10.1** With reference to Client Registration documents executed between us, I/We hereby authorized you to do the following:

**10.2** I / We have been / shall be dealing through you as my / our broker on the Capital Markets and/or Future and Option Segments. As my / our broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my /our behalf as per instructions given below.

**10.3** I / We understand that, I / we have the option to receive the contract notes, Client Margin information, Statement of fund & Securities, DP statements, DP Bills and other details in physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes, Client Margin Information etc in electronic form. I / We understand that for the above purpose, you are required to take from the client an appropriate email account for you to send electronic contract notes. Accordingly, please take Email ID mentioned in this KYC application form for sending the contract notes and other documents to me / us.

**10.4** I / We agree not to hold you responsible for late / non receipt of contract notes, Client Margin information and other details sent in electronic form and any other communication for any reason including but not limited to failure of email server, loss of connectivity, email in transit etc. I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes, Client margin information to me / us and shall not be disputed by me / us on account of any non receipt / delayed receipt for any reason whatsoever.

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

**10.6** I / We understand that I / we am / are required to intimate any change in the email id / email account mentioned herein above needs to be communicated by me / us through a physical letter to you, provided however that if I / we am /are an internet client then in that event the request for change in email id / email account can be made by me / us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I / We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

**11. Investment Advice:**

**11.1** The client acknowledges that TSL shall not be liable to provide him any legal, tax, investment or account advice or advice regarding the suitability or profitability of a security or investment.

**11.2** The client agrees that in the event of Security broker or any employee or official of Security broker 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 TSL shall not be liable or responsible for the same. The client assumes full responsibility with respect to his investment decisions and transactions. The Client agrees not to have any arrangement or understanding with any of the employee and/or remisser and /or franchisee and/or authorized person of any nature whatsoever in respect of transactions of purchases or sales of the shares and/or derivatives transactions and/or any fixed return of profit etc.

**11.3** TSL, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the client.

**12. Tape recording of client conversation:**

The client is aware that TSL may tape-record the conversations between the client and TSL, either personally or over the telephone, and the client hereby specifically permits TSL to do so. Such electronic recordings may be relied upon by TSL as and when required to resolve disputes in connection with the trading transactions. However in the event if such conversation are not recorded by TSL. I/We shall not hold TSL responsible for non recording of such conversation

**13. Letter of Authority:** I / We have been regularly trading and investing, or plan to do so, with you at NSE / BSE /

MSEI. To facilitate ease of operations, I/ we request and authorize you as under:

- 13.1 My/our orders for purchase/ sale of securities will be given on telephone or orally during my/ our visit to your office. I/ We further declare that all orders placed by me/ us with you will be for my/ our personal/ family account(s) and that I/ we will not operate for any client and will not issue any further contracts/ bills for the transactions executed through you.
- 13.2 I/We hereby authorise you to undertake any transfer interse of funds, securities, debits & credits available between various exchanges.
- 13.3 I am/we are aware that you are required to issue payment/delivery due to me/us as per the payout from the exchange. In order to facilitate operations, I/we hereby authorize you to maintain running accounts with you; to debit my/our running account for the margin/ funds & / deliveries payable by me/ us; to include any/all the pay out of funds & / or deliveries towards margin / delivery and/or towards pay in obligations and / or towards fund/deliveries payable by me/us, without any specific.
- 13.4 I / we also agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such deliveries/funds under this agreement or otherwise.
- 13.5 Pledge / deposit my / our deliveries & / or funds whether deposited as collateral /margin or permitted by us to be retained in the running account etc. by you with any bank or any other institution including but not limited to the Exchanges (s) /Clearing Corporation / Clearing House for the purposes of raising funds, bank guarantees and FDRs etc., or towards Margin / collateral as also to meet shortfall in my / our fund/deliveries pay in obligation/ auctions or assignment of contracts or any other liability arising out of my/our dealings with you/ through you I/ we authorize you to do all such acts deeds and things as may be necessary and expedient for placing such deliveries with the Exchanges/banks/institutions as margin. You are further authorized to sell/ liquidate these deliveries /FDRs at the time and manner of your choice, as & when deemed fit by you in your absolute discretion to meet any shortfalls in my/our accounts or any other liability of mine/ ours without any reference to me/ us.
- 13.6 I / we agree that any loss due to any erroneous order entry / erroneous order modification shall be entertained by you only to the extent of insurance received.
- 13.7 I/We authorise you to maintain my/ our account, both funds and securities, with you on a running account basis and request you to consider the balances in my/ our running funds and securities account with you for the purpose of margins/ any other obligations due to you. In view of the same it would be proper for you to release the funds and securities due to me/ us on my/ our specific request, either written or oral. Further I/ we understand and agree that any credit amount lying with you will not attract any interest.
- 13.8 I/We agree and authorise you debit charges for depositories services and any other incidental charges to my / our running account.

13.9 I/We authorise you to liquidate/ close out ail or any of my/our positions for non-payment of margins or other account, outstanding debts etc. I/We agree to bear any and all losses and financial charges on account of such liquidation/closeout.

13.10 I/We agree that you may refuse to execute any particular transaction without assigning any reason therefor.

13.11 I/We agree not to hold you liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war, strikes, failure of systems, failure of internet links, Government/ regulatory actions or any such other contingencies which may be beyond your control.

#### 14. Declaration:

14.1 I/We an individual/a sole proprietary concern \_\_\_\_\_ having his/her/it's residence/ registered office at \_\_\_\_\_ -

\_\_\_\_\_. has entered into individual mandatory and non-mandatory client registration document, Client Registration Form, Risk Disclosure Documents, etc. for dealing in Cash Segment and/or Derivatives / Futures and Options Segment of National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE) / (NSE and BSE collectively known as Exchange) on \_\_\_\_\_ and \_\_\_\_\_.

14.2 I / We hereby declare that I am a regular investor in the stock markets in India. I/ We am / are conversant with the laws, practices, rules, regulations, guidelines, circulars, etc. prescribed by the Securities and Exchange Board of India (SEBI) and National Stock Exchange of India Limited. (NSE) and Bombay Stock Exchange Limited (BSE).

14.3 I/We hereby further declare that I am holding the shares in my demat account no. \_\_\_\_\_ with DP \_\_\_\_\_ I/We hereby further declare that I/We will not give any third party shares for settlement of my obligations to the Exchange.

14.4 I/We hereby further declare that I/ We will not receive or give any monies in cash or in kind for completing the settlement obligations to the Exchange. I / We hereby further declare that I / We are aware of the illegal practices that are prevalent in the Stock Market. I/We hereby further declare that I will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading in the Cash / Capital Market and Derivatives / Futures and Options segment. I /We hereby further declare that I/We will not place any order on the Exchange which will reflect as an arrangement for profit or loss transactions.

14.5 All the orders placed on the exchange will be in the normal market where there is corresponding underlying securities positions in the cash or futures segment of the respective Exchange.

14.6 I hereby further declare that I am aware of the following provisions of laws applicable to the Securities Market.

(A) Section 11 of the SEBI Act, 1992 read with 11B interalia prescribed that 11 (4) Without prejudice to

the provisions contained in sub-section (1) (2) (2A) and (3) of 11B, the Board may, by an order for reasons to be recorded in writing, in the interests of investors or securities market, take any of the following measures, either pending investigation or inquiry or on completions of such investigation or inquiry, namely: -

(b) restrain person from accessing the securities market and prohibit any person associated with securities market to buy, sell or deal in securities.

**(B) Section 4 Prohibition of manipulative, fraudulent and unfair trade practices**

14.7 Without prejudice to the provisions of regulation 3, no person shall indulge in a fraudulent or an unfair trade practices in securities.

14.8 Dealings in securities shall be deemed to a fraudulent or an unfair trade practices if it involves fraud and may include all or any of the following namely:-

(a) indulging in an act which creates false or misleading appearance of trading in the securities market;

(b) dealing in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss;

(c) advancing or agreeing to advance any money to any person thereby inducing any other person to offer to buy any security in any issue only with the intention of securing the minimum subscription to such issue;

(d) paying, offering or agreeing to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;

(e) any act or omission amounting to manipulation of the price of a security;

(f) publishing or causing to publish or reporting or causing to report by any person dealing in securities any information which is not true or which he does not believe to be true prior to or in the course of dealing in securities;

(g) entering into a transaction in securities without intention of performing it or without intention of change of ownership of such security;

(h) selling, dealing or pledging of stolen or counterfeit security whether in physical or dematerialised form;

(i) an intermediary promising a certain price in respect of buying or selling of a security to a client and waiting till a discrepancy arises in the price of such security and retaining the difference in prices as profit for himself;

(j) an intermediary providing his clients with such information relating to a security as cannot be verified by the clients before their dealing in such security;

(k) an advertisement that is misleading or that contains information in a distorted manner and which may influence the decision of the investors;

(l) an intermediary reporting trading transactions to his clients entered into on their behalf in an inflated

manner in order to increase his commission and brokerage;

(m) an intermediary not disclosing to his client transactions interceded into on his behalf including taking an option position;

(n) circular transactions in respect of a security entered into between intermediaries in order to increase commission to provide a false appearance of trading in such security or to Inflate or depress or cause fluctuation in the price of such security;

(o) encouraging the clients by an intermediary to dealing in securities solely with the object of enhancing his brokerage or commission;

(p) an intermediary predated or otherwise falsifying records such as contract notes;

(q) an intermediary buying and selling securities in advance of a substantial client order or whereby a future or option position is taken about an impending transaction in the same or related futures or options contract;

(r) planting false or misleading news which may induce sale or purchase of securities.

14.9 I/ We hereby further declare that I/ We will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons / entities. In the event of any of the above fraudulent or unfair trade practices is noticed by the Exchange or Regulatory Authorities, then I/We shall be solely responsible for such acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the capital market segment and Futures and Options segment of the exchange. I shall bear the penalty or fine if incurred by TSL due to such fraudulent or unfair trade practices as mentioned above.

14.10 In case of any change in my US person status on a future date, I undertake to inform M/s. Tradenext Securities Ltd. the same within 30 days. I agree that if I have confirmed that I am a USA person, my account would be considered as U.S. Reportable Account and my account details, as required under Inter Governmental Agreement (IGA) signed by Indian Government, would be reported by M/s. Tradenext Securities Ltd. to the relevant tax authority identified in IGA.

14.11 I/We hereby authorised M/s. Tradenext Securities Limited (Broker BSE & NSE) to deposit the collateral provided by me onward to the exchange / clearing corporation / clearing house towards the margin obligations.

## 15. Proprietary Trading:

The stock broker hereby states & inform that it undertakes proprietary trading in Exchanges in addition to client based trading.

Client Signature

FH  
14/15



## POWER OF ATTORNEY

To all to whom these presents shall come I, ....., having Address at....., send greetings.

**Whereas** I/ we hold beneficial owner account number **DP Id** .....**Client Id** \_\_\_\_\_ with \_\_\_\_\_, through \_\_\_\_\_ registered with Securities and Exchange Board of India (SEBI) and Trading Code \_\_\_\_\_ with \_\_\_\_\_.

**And Whereas** I/ we am/ are desirous to buy and sell securities through \_\_\_\_\_ who is a stock broker registered with SEBI and member of recognized stock exchange/s.

**And Whereas** I/ we am/ are desirous of appointing \_\_\_\_\_ as my/our constituted attorney to operate my/ our beneficial owner account and bank account on my/ our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/ we do hereby nominate, constitute and appoint \_\_\_\_\_ (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorize it to perform the following functions on my behalf:

- I. To transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat account nos.

Account Type	DP Name	DP ID	Client ID
CDSL BSE CM Pool A/c	Tradenext Securities Ltd.	12082900	00000671
CDSL NSE CM Pool A/c	Tradenext Securities Ltd.	12082900	00000952
NDSL NSE CM Pool A/c	IL&FS Securities Services Ltd	IN300095	12088956
NDSL BSE CM Pool A/c	IL&FS Securities Services Ltd	IN300095	12090043
NSE Early Pay-in A/c	NSCCL	11000011	00021136
BSE Early Pay-in A/c	ICCL	11000010	00024428

of stock broker maintained for the purpose of settlement obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only

transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/we have executed a Client Member Agreement with the stock broker for such exchanges.

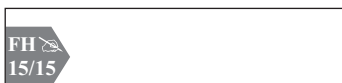
- ii. To pledge the securities in favor of \_\_\_\_\_ in below margin accounts for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the CNB Finwiz Private limited.

Account Type	DP Name	DP ID	Client ID
CM-Client Securities Margin Pledge Account	Tradenext Securities Ltd.	12082900	00002069
TM/CM - Client Securities Margin Pledge Account	Tradenext Securities Ltd.	12082900	00002041

- iii. To re-pledge the securities pledged by me as stated in para ii above in favor of the clearing member / clearing corporation as the case may be.”
- iv. To return to me/us, the securities or funds that may have been received by the stock broker erroneously or those securities or funds that the stock broker was not entitled to receive from me/us;
- v. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.
- vi. Further the Stock Broker is hereby authorized to send consolidated summary of client's script wise buy and sell positions taken with the average rates to me/us by way of SMS / Email on a daily basis.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named herein above in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at \_\_\_\_\_.



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

Date : DD / MM / YYYY

Place: \_\_\_\_\_

Signature of Witness:



Name: \_\_\_\_\_

Address: \_\_\_\_\_

**I / We accept (For Tradenext Securities Limited)**

 **Authorised Signatory:** \_\_\_\_\_

**Date** \_\_\_\_\_

## Tradenext Securities Limited

SEBI Registration No.			Registered office address	Corporate office address
NSE	INZ000009530	14940	Flat no.214, B-Block, Mahatta Tower, Community Center, Janakpuri New Delhi, New Delhi - 110058 Tel. No.: 011-4937777	5th Floor, 504, Antriksh Thakoor House, Makawana Road, Marol, Andheri East, Mumbai-400059 Tel.No.: 022-6827 5300
BSE	INZ000009530	6621		
CDSL	IN-DP-229-2016			
BSE CDS	Exchange Registered in Currency Derivatives			

**Trading & Clearing Member (Cash / Capital Market Segment & Derivatives / F & O Segment, Currency Segment & IRF)**

In case of any grievances mail to [compliance@espscapital.com](mailto:compliance@espscapital.com)

	Name	Contact no.	Email ID
Designated Director	Ashok Kumar Singh	022 - 6827 5300	ashoks@tradenextindia.com
Compliance / Principal Officer	Sumit Galhotra	022 - 6827 5300	compliance@tradenextindia.com
Grievance	Ashok Kumar Singh	022 - 6827 5300	grievance@tradenextindia.com

**In case not satisfied with the response, please contact concerned exchanges at:**

Exchange	Regional Arbitration Centre	States and Union Territories covered by the Regional Arbitration Centre
NSE	Exchange Plaza, 5th Floor, Plot no. C/1, G Block Bandra-Kurla Complex Bandra (E) Mumbai - 400 051. Tel No: 6598190 (IGC)/ 6598192 (Arbitration) Fax No: 6598191, Email : <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	All over India
BSE	Regional Office West, Department of Investor Services, P J Towers, 1st floor, Dalal Street, Fort, Mumbai 400001. Telephone Number: 022-22721233/34 Fax No.: 022- 22723677 E-mail Id: <a href="mailto:is@bseindia.com">is@bseindia.com</a> ;	Maharashtra, Gujarat, Goa, Daman & Diu, Dadra & Nagar Haveli, Madhya Pradesh
BSE	Regional Office North, 7th Floor, Mercantile House K G Marg New Delhi - 110 001. Telephone Number: 011- 41510481 Telefax No.:011-41510480 E-mail Id: <a href="mailto:iscdelhi@bseindia.com">iscdelhi@bseindia.com</a> ; <a href="mailto:ritesh.kumar@bseindia.com">ritesh.kumar@bseindia.com</a>	Delhi, Haryana, Uttar Pradesh, Uttaranchal, Himachal Pradesh, Punjab, Jammu & Kashmir, Chandigarh, Rajasthan
BSE	Regional Office East, 1st Floor, Kishor Bhaban 17, and R. N. Mukherji Road Kolkata 700 001 Telephone Number: 033-22133184, Telefax No.:033-22130530 E-mail Id: <a href="mailto:isc.kolkata@bseindia.com">isc.kolkata@bseindia.com</a> ; <a href="mailto:anirban.guha@bseindia.com">anirban.guha@bseindia.com</a>	West Bengal, Bihar, Jharkhand, Orissa, Assam, Arunachal Pradesh, Mizoram, Manipur, Sikkim, Meghalaya, Nagaland, Tripura, Chhattisgarh
BSE	Regional Office South, No.4. Vijaya Towers, 3rd Floor Kodambakkam, High Road (Opp. to Palm Grove Hotel) Chennai 600 034 Telephone Number: 044-420089959 Telefax No.:044-42089958, E-mail Id: <a href="mailto:iscchennai@bseindia.com">iscchennai@bseindia.com</a> ; <a href="mailto:s.periyasamy@bseindia.com">s.periyasamy@bseindia.com</a>	Andhra Pradesh, Karnataka, Kerala, Tamil nadu, Andaman & Nicobar, Lakshadweep, Pondicherry.



# ESPS CAPITAL

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ESPS Capital is a registered trademark of TSL.

**Corporate Office :** 5<sup>th</sup> Floor, 504, Antriksh Thakoor House, Makawana Road, Marol, Andheri East, Mumbai - 400059

**Registered Office:** 214, 54-B Block, Community Centre, Mahatta Tower, Janakpuri, Delhi-110058

**Tel.No.:** 022 - 6827 5300 | **Toll- Free No:** 18002676520 | [www.espscapital.com](http://www.espscapital.com)