

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

...Exploring New Horizons

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked \* are pertaining to CKYC and mandatory only if processing CKYC also

**KYC Mode\*:** Please Tick (✓) Normal     EKYC OTP     EKYC Biometric     Online KYC     Offline EKYC     Digi locker**1. Identity Details (please refer guidelines overleaf)****PAN\***

Please enclose a duly attested copy of your PAN Card

**Name\*** (same as ID proof)**Maiden Name<sup>+</sup>** (if any)**Fathers/Spouse's Name\*****Date of Birth\*****Gender\*** Male Female Transgender**Marital Status\*** Single Married**Nationality\*** Indian Other**Residential Status\*** Resident Individual Non Resident Indian

Please Tick (✓)

 Foreign National Person of Indian Origin<sup>+</sup>Recent passport size  
Applicant Photo

Cross Signature across photograph

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC.  
Select NRI or Foreign National based on Nationality of the individual)**Proof of Identity (POI) submitted for PAN exempted cases (Please tick)** A — Aadhaar Card

\_\_\_\_\_

(Expiry Date) \_\_\_\_\_

 B — Passport Number

\_\_\_\_\_

 C — Voter ID Card

\_\_\_\_\_

(Expiry Date) \_\_\_\_\_

 D — Driving License

\_\_\_\_\_

 E — NREGA Job Card

\_\_\_\_\_

 F — NPR

\_\_\_\_\_

 Z — Others

\_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**2. Address Details\* (please refer guidelines overleaf)****A. Correspondence/ Local Address\***

Line 1\*

\_\_\_\_\_

Line 2

\_\_\_\_\_

Line3

\_\_\_\_\_

**City/Town/Village\*** \_\_\_\_\_District<sup>+</sup> \_\_\_\_\_

Pin Code\* \_\_\_\_\_

**State\*** \_\_\_\_\_

Country\* \_\_\_\_\_

**Address Type\***  Residential/Business Residential Business Registered Office Unspecified

Applicant e-SIGN

**B. Permanent residence address of applicant, if different from above A / Overseas Address\* (Mandatory for NRI Applicant)**

Line 1\*

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Line 2

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Line3

---

City/

Town/Village\* \_\_\_\_\_ District+ \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\*

Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified**Proof of Address\*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted) A — Aadhaar Card

---

(Expiry Date)

---

 B — Passport Number

---

 C — Voter ID Card

---

 D — Driving License

---

 E — NREGA Job Card

---

 F — NPR Letter

---

 Z—Others

---

(any document notified by Central Government)

Identification Number 

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**3. Contact Details (in CAPITAL)**

Email ID\*

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Mobile No. \*

---

Tel (off)

---

Tel (Res)

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**4. Applicant Declaration**

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: \_\_\_\_\_ (DD-MM-YYYY)

PLACE: \_\_\_\_\_

Applicant e-SIGN

Applicant Wet Signature

**5. For Office Use Only**

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____	<input type="checkbox"/> Self-certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested)
Emp. Name _____ M Paranthaman	AMC / Intermediary Name :
Emp. Code _____ 1118	AMBAL SHARES AND STOCKS PRIVATE LIMITED
Emp. Designation _____ Deputy Manager	
Employee Signature and Stamp	Institution Name and Stamp

## Instructions/Guidelines for filling Individual KYC Application Form

### A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/ OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

### B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (Listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card/document with address issued by any of the following: Central/ State Government 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.
4. Self-declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

**D. Exemptions/Clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected)**

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. 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.

**F. Online Mode Processing of KYC:****1. EKYC BIOMETRIC**

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

**2. EKYC OTP**

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

**3. ONLINE KYC**

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

**4. OFFLINE EKYC**

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

**5. DIGILOCKER**

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

**AMBALAL SHARES AND STOCKS PRIVATE LIMITED**  
Central KYC Registry| Know Your Customer (KYC) Application| Individual

<b>Name</b>	
<b>Client Code(UCC Code)</b>	
<b>DPID</b>	

INDEX- DP, Equity & Commodity			
S.NO	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY FORM AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	KYC Form - Document captures the basic information about the constituent and Other details-Bank, DP account, Trading Preferences, SMS and Email facility, Trading History, Income, and Education.	4-8
2.	Account Opening Form	Demat account-Basic and Alert requirement details	9-10
3.	Brokerage Structure & Tariff Sheet	Documents detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s). Documents detailing about CDSL Charges	15-16
4.	Rights and Obligations	a) Rights and Obligations of Beneficial and Depository participants as prescribed by SEBI and Depositories. b) Documents stating the Rights & Obligations of stock broker/ trading member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet /wireless technology based trading).	17-22
5.	Risk Disclosure Document(RDD)	Document detailing risks associated with dealing in the securities market.	31-33
6.	Guidance note- DO's & Don'ts	Document detailing do's and don'ts for trading on exchange, for the education of the investors	33-35
<b>VOLUNTARY FORMS PROVIDED BY THE STOCK BROKER</b>			
7.	Nomination Details	Nominee details	11-14
8.	Terms and Conditions for SMS Alerts DP	Terms and conditions for SMS Alerts- DP	23-24
9.	Authority Letter	Authorization for Depositing Collaterals, Transfer of Funds/ Securities	25
10.	Running Account Authorization & Internet Trading & request for SMS & Email alerts	Authorization for Maintaining Running Account & Request for Internet Trading & Request for SMS and Email Alerts	26 - 27
11.	Client Defaulter declaration and PMLA information for Investors	Client Defaulter declaration and PMLA Information for Investors	28-29
12.	Option form for issue of DIS Booklet and Declaration for Same Mobile number/ Email id	Option form for issue of DIS Booklet and Declaration for Same Mobile number/ Email id	30
13.	Commodity Categorization	Commodity Categorization details	36-36
14.	ECN Declaration	Electronic Contract Note Declaration	36-36
15.	MITC , Policy for "GTD" orders	Most Important Terms and Conditions(MITC) & Policy For handling Good Till Date Orders 'GTD' Order	37-39
16.	FATCA, Freezing / blocking of the online access of the trading account.	Facility for voluntary freezing/ blocking of online access of the trading account	40-42
Annex::	Proof Of Identification, Proof Of Permanent Address, Proof of Correspondence address (if any), Bank Proof, Copy of Wet Signature, income Proof (if any), Nomination Form (if any)		

**Name of Stock Broker/Trading Member/Clearing Member:**

AMBALAL SHARES AND STOCKS PRIVATE LIMITED

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.	DATE
NSE	Cash	INZ000219137	10/03/2011
NSE	F&O	INZ000219137	10/03/2011
NSE	Currency	INZ000219137	10/03/2011
NSE	Commodity	Not Applicable	
BSE	Cash	INZ000219137	10/03/2011
BSE	F&O	INZ000219137	10/03/2011
BSE	Currency	INZ000219137	10/03/2011
BSE	Commodity	Not Applicable	
MSEI	Currency Derivatives	Not Applicable	
MCX	Commodity Derivatives	INZ000219137	08/02/2011
NCDEX	Commodity Derivatives	Not Applicable	
ICEX	Commodity Derivatives	Not Applicable	

**Depository Participant Details:**

AMBALAL SHARES AND STOCKS PRIVATE LIMITED

DEPOSITORY NAME	SEBI NO	DATE
NSDL	Not Applicable	
CDSL	IN-DP-CDSL-402-2019	02/01/2013

**Clearing Member Details**

**Clearing Member: GLOBE CAPITAL MARKET LIMITED**

**Registered Office Address**

Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City, Old Bypass Road, Vellore, Tamilnadu , 632004,  
Phone: 0416 2227751

**Corporate Office**

Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City, Old Bypass Road, Vellore, Tamilnadu, 632004,  
Phone: 0416 2227751

**Compliance Officer Details 1 :**

Name: Mr Jawarilal Karan

Phone Number: 0416 2227751-55

Email ID:operations@ambalalshares.com

**CEO Details :**

Name: Karthick S

Phone Number: 8220018115

Email ID:karthick@ambalalshares.com

For any grievance / disputes please contact Stock Broker AMBALAL SHARES AND STOCKS PRIVATE LIMITED at the above address/ Email/Phone. Grievance Email: [igassl@ambalalshares.com](mailto:igassl@ambalalshares.com) / [igassldp@ambalalshares.com](mailto:igassldp@ambalalshares.com); Phone No- 0416-2227751

You can also lodge your grievances with SEBI at <http://scores.gov.in> for any queries, feedback or assistance, please contact SEBI office or toll free Helpline at 1800-22-7575 / 1800-266-7575

You can file your complaints online at <http://scores.gov.in> or alternately send your complaints to Office of Investor Assistance and Education of SEBI at Mumbai or Regional Offices:

For more information visit our website - <http://scores.gov.in>

Filing of complaints on SCORES – Easy & quick

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, Email ID
- c. Benefits
  - 1. Effective communication
  - 2. Speedy redressal of the grievances

SCORES website: <https://scores.gov.in/scores/Welcome.html>

**Incase not satisfied with the response, please contact the consent exchanges.**

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	ignse@nse.co.in	(022) 2659 8100
Bombay Stock Exchange Ltd.	is@bseindia.com	(022) 2272 1234
Metropolitan Stock Exchange of India Ltd.		
MCX	grievance@mcxindia.com	(022) 6731 8888
NCDEX		
CDSL	complaints@cdslindia.com	(022) 22723333
NSDL		

1. Personal Details		
Name*	Lat/Long:	
Maiden Name (If any*)		
Father/Spouse Name*		
Mother Name*		
Date of Birth*		
Gender*		
Marital Status*		
Citizenship*		
Residential Status*	Indian	
Occupation Type*		
Residence for Tax Purposes In Jurisdiction(s) Outside India*		
Country of Jurisdiction of Residence*		
Tax Identification Number or Equivalent(If issued by jurisdiction)*		
Place/City of Birth*		
Country of Birth*		
2. Proof of Identity		
PAN*		
AADHAAR*		
3. Proof of Address		
Address Type*	Aadhar	
Proof of Address*		
Correspondence Address		
Address Line 1*		
Address Line 2		
Address Line 3		
City/Town/Village*	State*	
Country*	PIN Code*	

<b>Permanent Address</b>		
Address Line 1*		
Address Line 2		
Address Line 3		
City/Town/Village*	State*	
Country*	PIN Code*	

	<b>Sole / First Holder</b>	<b>Signature</b>
Signature		

#### 4. Contact Details

Tel. (Off.)		Tel.(Res.)	
Mobile No.*		Fax	
Email ID*			

#### 5. Details of Related Person

Name	
Related Person Type	
PAN	

#### 6. Applicant Declaration

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

I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered number/email address.

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

#### 7. Attestation/For Office use only

Document Received				
Intermediary/Institution Details		In-person verification (IPV), Documents verified with original & Client interviewed by		
Name	AMBALAL SHARES AND STOCKS PRIVATE LIMITED	Employee/SB/AP name		M Paranthaman
		Code	1118	Designation
CKYC Institution Code	IN1521	Signature		
		Date		

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

### 8. Bank Account Details

#### Primary Bank Details (For DP and Trading)

Bank Name			
Account No.		Branch	
IFSC		MICR Code	
Address			
Account Type		Pay-Out Option	Yes

### 9. Depository Account Details

I/We already have Demat A/c

Depository Name	CDSL		
DP ID		BO ID	
Name of Depository Participant	AMBALAL SHARES AND STOCKS PRIVATE LIMITED		
Demat Account Proof Submitted			

### 10. Trading Preference

Please sign in the relevant boxes where you wish to trade.

Exchange	Segment				
	Cash Market / Mutual Fund	F&O	Currency Derivatives	Commodities	Mutual Fund
NSE					
BSE					
MCX					
NCDEX					
*If you wish to trade in derivatives (F&O/Currency) segments, submit proof of financial details (Mandatory)					

### 11. FACILITIES

SMS and E-mail alerts from stock exchanges/depository	yes
Whether you wish to receive Contract Note & Standard documents in physical or electronic mode	yes
*Standard Documents Rights & Obligations, Risk Disclosure Document, Guidance Note and Policies & Procedures, other terms and conditions	
I/We wish to avail facility of internet trading / wireless technology	yes

### 12. Trading History

Trading Experience / Number of Years of Investment	
Stock Profile	
Details of disputes / dues pending from / to such stock broker / sub-broker In case dealing with multiple stock brokers, please provide details of all.	
Client Code(UCC)	Exchange
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 last 3 years.	NO

### 13. Income, Education & Others Details

<b>Gross Annual Income Detail</b>		
<b>Net-worth in</b>		<b>As on(date)</b>
<b>Occupation</b>		
<b>Educational Details</b>		
<b>Politically Exposed Person/Related to a Politically Exposed Person</b>		
<b>Is the entity involved providing any of the following services</b>		
<b>- For Foreign Exchange / Money Changer Services</b>		No
<b>- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)</b>		No
<b>- Money Lending / Pawning</b>		No
<b>FATCA &amp; CRS Declaration – Individuals</b>		
<b>Are you the TAX Resident of any country other than India</b>		No
<b>If yes please fill the following:</b>		
<b>#Country</b>	<b>%Tax Identification Number</b>	<b>Identification Type</b>
<b>Foreign Address 1</b>		
<b>Foreign Address 2</b>		
<b>Foreign Address 3</b>		
<b>Foreign City</b>		<b>Foreign State</b>
<b>Foreign Country</b>		<b>Foreign Pin</b>
<b>Declaration:</b>		
<p>I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update &amp; for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.</p>		
<b>Signature of Client</b>		

#### 14. Demat Account Opening - CDSL

I/ We request to open a Depository Account in my / our name as per the following details.

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

##### 14a. Type of Account

Status	Individual	Sub-status	
--------	------------	------------	--

##### 14b. Account Holder Details

Name of sole/1st Holder			
UID		PAN	
Name of sole/2nd Holder			
UID		PAN	
Name of sole/3rd Holder			
UID		PAN	
Nationality	Indian		

##### 14c. CDSL - Details of Guardian (In case the account holder is minor)

Name of Guardian (Mr./Mrs/Ms.)			
Relationship		PAN	

#### 14d. CDSL - Additional Details

Account statement requirement	Once in a Quarter
I/We instruct the DP to receive each and every credit in my / our account	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We wish to receive dividend/interest directly into my/our Bank A/c 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 you to send Electronic Transaction-Cum-Holding Statement through E-mail (Please mention E-mail ID in KYC form)	<input type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert Facility on Mobile Number as given in KYC Form (Mandatory, If you have given PoA. If POA is not granted and you do not wish to avail of this facility, cancel this option)	<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.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the E-mail ID with the RTA.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the annual report (If not marked, default option will be 'Physical')	<input type="checkbox"/> Yes <input type="checkbox"/> No

#### 14e. Declaration

I/We have received and read the Rights & 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.

Client Signature			
	First / Sole Holder	Second Holder	Third Holder
Signature of Client			
Date:	Place:		

Annexure-A

(SEBI/HO/OIAE/OIAE\_IAD-3/P/ON/2025/01650,dated January 10,2025)

**15. Nomination form for Demat Accounts**

I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account/folio in the event of my/our demise, as trustee and on behalf of my/our legal heir(s)\*

**Nomination Details**

	Mandatory Details						Additional Details ***	
	Name of Nominee	% of Nominee	Relationship	Postal Address	Mobile Number & E-mail	Identity Number	DOB of Nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

If % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects')  
Provide only number: PAN or Driving Licence or Aadhaar (last4). Copy of the document is not required.

To be furnished only in following conditions / circumstances:

- Date of Birth (DoB): Please Provide, Only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1. I / We Want the details of my / our nominee to be printed in the statement of holding, provided to me / us by the AMC / DP as Follows: (Please tick, as appropriate)

Name of nominee(s)

Nomination: Yes / No

2. I hereby authorize \_\_\_\_\_ (nominee number\_\_\_\_\_) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets upto \_\_\_\_% of assets in the account / folio or Rs.\_\_\_\_\_ (strike off portions that are not relevant)

3. This nomination shall supersede any prior nomination made by me / us, if any.

Name(s) of holder(s)	Signature(s) of holder	Witness Signature *
Sole / First Holder (Mr. / Ms.)		
Second Holder (Mr. / Ms.)		
Third Holder (Mr. / Ms.)		

\* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

\*joint accounts:

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion. The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

#### Rights, Entitlement and Obligation of the investor and nominee :

- If you are opening a new demat account / MF Folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapacitation. This mandate can be changed any time you choose .
- The Signatories for this nomination form in joint folios / account, shall be the same as that of your Joint MF folio / demat account. i.e.
  - 'Either or Survivor' Folios / Accounts – any one of the holder can sign
  - 'Jointly' Folios / Accounts – both holders have to sign

Name(s) of holder(s)	Signature(s) of holder	Witness Signature *
Sole / First Holder (Mr. / Ms.)		
Second Holder (Mr. / Ms.)		
Third Holder (Mr. / Ms.)		

**Transmission aspects**

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / Updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% Share	Nominee	% initial Share	% of A's share to be apportioned	Total % Share
<b>A</b>	60 %	<b>A</b>	0	0	0
<b>B</b>	30 %	<b>B</b>	30 %	45 %	75 %
<b>C</b>	10 %	<b>C</b>	10 %	15 %	25 %
<b>Total</b>	<b>100 %</b>	-	<b>40 %</b>	<b>60 %</b>	<b>100 %</b>

Name(s) of holder(s)	Signature(s) of holder	Witness Signature *
Sole / First Holder (Mr./ Ms.)		
Second Holder (Mr./ Ms.)		
Third Holder (Mr./ Ms.)		

**Note:**

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

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

### 15. a) Declaration Form for opting out of nomination

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

Date :							
To							
AMBALAL SHARES AND STOCKS PRIVATE LIMITED Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City, Old Bypass Road, Vellore, Tamilnadu , 632004, Phone: 0416 2227751							
UCC							
DP ID							
Client ID (only for Demat account)							
Sole/First Holder Name							
Second Holder Name							
Third Holder Name							
<p>I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.</p>							
<b>Signature of Client</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: center; padding: 5px;">First / Sole Holder</th> <th style="text-align: center; padding: 5px;">Second Holder</th> <th style="text-align: center; padding: 5px;">Third Holder</th> </tr> <tr> <td style="height: 40px;"></td> <td style="height: 40px;"></td> <td style="height: 40px;"></td> </tr> </table>		First / Sole Holder	Second Holder	Third Holder			
First / Sole Holder	Second Holder	Third Holder					

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

### 16. Declaration

I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant". The rules and regulations of the Depository and Depository Participants pertaining to an account are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

Client Signature			
	First / Sole Holder	Second Holder	Third Holder
<b>Signature of Client</b>			
Date:	Place:		

#### 17. Brokerage Structure

Segment Type	
Margin Amount	
Advance Brokerage	

Segment	Brokerage Type	Value
Equity Cash-Intraday	Fixed	
Equity Cash-Delivery	Fixed	
F&O -Future	Fixed	
F&O -Option	Per Lot	
Currency - Future	Fixed	
Currency - Option	Per Lot	
Commodity Future	Fixed	
Commodity Option	Per Lot	
Mutual Fund		

**Note:**

Important Note: In case of Physical Contract notes or other related documents being dispatched to client, a difference of Rs. 20/- in total brokerage booked on a particular contract would be charged toward minimum processing fee. Delay payment charges @2% per month would be charged for debit/shortage in payin/margin default, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/ beneficiary/margin account for payin / payout or margin purpose will be charged. Transaction charges/Clearing Charges/other statutory charges/ courier/administration/ processing charges will be charged as applicable. Handling charges for issue of account statement, copy of contract note etc. will be charged as applicable.

Client Signature			
	First / Sole Holder	Second Holder	Third Holder
Signature of Client			
Date:	Place:		

## 18. SCHEDULE OF CHARGES

Account Description	Charges (Rs.)
Account Opening	NIL
Documentation Charges	NIL
Custody	NIL
Account Maintenance Charges(upfront) —Scheme1	Individual—Rs.300/- p.a. from 2 <sup>nd</sup> Year onwards Non-Individual—Rs.1000/-p.a. from 2 <sup>nd</sup> Year onwards+ CDSL Charges at actual
Account Maintenance Charges(upfront) —Scheme2	Individual—Rs.2500/-p.a. from 2 <sup>nd</sup> Year onwards(inclusive of ST) Non-Individual—Rs.5000/-p.a. from 2 <sup>nd</sup> Year onwards(inclusive of ST)
Transaction Charges(ON Market)	Buy: NIL, Sell:Rs.30/-Per transaction
Transaction Charges(Off Market within Ambalal DP)	Rs.30/- Per transaction
Inter DP – Other than Ambalal	Rs.30/-Per transaction or 0.5% of transaction w.e.h
Dematerialization	Rs.150 Per certificate+(Rs.50 per request)+courier charges Rs.100
Rematerialization	Rs.100 For every 100 securities + courier charges Rs.100
Pledge & Unpledge	Rs.100 Per ISIN or 0.05 % of transaction w.e.h to Pledgor
Pledge Invocation (Pledge)	Rs.100 Per ISIN or 0.05% of transaction w.e.h to Pledgee
Margin Pledge and Unpledge	Rs.30 Per ISIN
Failed instruction charges	Rs.30 Per ISIN
DIS Booklet charges	Rs.100/-Per Booklet + Courier charges Rs.100
KRA Process Charges	Rs.50/-for New KRA&Rs.35/-for Modification KRA
KYC Modifications Charges	Rs.25 Per instructions
Cheque Bounce Charges	Rs.1000 Plus GST
Other Charges	NIL

- Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)  
Up to ` 4 lakhs NIL,\* More than ` 4 lakhs but up to 10 lakhs Rs 100 + GST,\*More than ` 10 lakhs - Rs 300 + GST  
Not a BSDA. Regular AMC may be levied.  
The above schedule of charges are exclusive of GST (Except One Time AMC) and other levies by Government bodies / statutory authority from time to time.
- The above schedule of charges is based on CDSL charges and fixed by the DP and is subject to revision at the discretion of the DP.
- Transaction statement will be sent monthly, if there is a transaction and a statement of holdings every quarter (or at the request of the client) by courier.
- All payments have to be made favoring Ambalal Shares & Stocks Private Limited. You can pay by local cheque (in places where Ambalal Shares & Stocks Private Limited has a branch) or Demand Draft payable at Vellore. Out station cheques will not be accepted.
- Any advance payments over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised

## 19. RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBE BY SEBI AND DEPOSITORIES

### General Clause

1. The Beneficial Owner and the Depository Participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate Demat Account of a beneficial Owner in the depository system only after receipt of complete Account Opening Form, KYC and supporting documents as specified by SEBI from time to time.

### Beneficial Owner information

3. The DP shall maintain all the details of the beneficial Owner(s) as mentioned in the Account Opening Form, supporting documents submitted by them and/or any other information pertaining to the beneficial Owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the Account Opening Form as submitted to the DP at the time of opening the Demat Account or furnished to the DP from time to time.

### Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that no charges are payable for opening of Demat Accounts".
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### Dematerialization

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

### Separate Accounts

9. The DP shall open separate accounts in the Name of each of the Beneficial Owners and securities of each beneficial Owner shall be segregated and shall not be mixed up with the securities of other beneficial Owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and / or hypothetical or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/ or held in Demat Account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions Business Rules of the Depositories.

### Transfer of Securities

11. The DP shall effect transfer to and from the Demat Accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his Demat Account and the DP shall act according to such instructions.

### Statement of account

13. The DP shall provide statements of accounts to the beneficial Owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI /depository in this regard.
14. However, if there is no transaction in the Demat Account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of Demat Accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of Demat Accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of Demat Account in the electronic mode, then the Participant shall be obliged to forward the statement of Demat Accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/ or Depository from time to time.

#### **Manner of Closure of Demat Account**

17. The DP shall have the right to close the Demat Account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her Demat Account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their Demat Account should be transferred to another Demat Account of the Beneficial Owner held with another DP or to re materialize the security balances held.

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

#### **Default in payment of charges**

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

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

#### **Liability of the Depository**

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

- Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial Owner due to the negligence of the depository or the participant, the Depository shall indemnify such Beneficial Owner.
- Where the loss due to the negligence of the participant under Clause (I) above, is indemnified by the Depository, the Depository shall have the right to recover the same from such participant.

#### **Freezing/ De freezing of accounts**

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

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

#### **Redressal of Investor Grievance.**

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

#### **Authorized representative**

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

#### **Law and Jurisdiction**

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

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

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

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

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

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

## 20. RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSON AND CLIENTS (as prescribed by SEBI and Stock Exchanges)

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

## **BROKERAGE**

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

## **LIQUIDATION AND CLOSE OUT OF POSITION**

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

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

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

## **DISPUTE RESOLUTION**

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

23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

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

25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

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

## **TERMINATION OF RELATIONSHIP**

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

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one

Working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamper able.

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-tamper able form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/ regulations/ circulars/ guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

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

#### **LAW AND JURISDICTION**

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

**21. INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT**  
 (All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

Client Name	
Signature of Client	

## 22. Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL (SMS Alerts will be sent by CDSL to BOs for all debits)

### Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, Which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

### Availability:

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

### Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time.

I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time. I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

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

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

Client Name	
Signature of Client	

**23. Authorization for Depositing Collaterals with Exchange/Clearing House/Clearing Member & Authorization For Transfer of Funds And/or Securities, Inter Segment And Inter Exchange**

**Authorization for Depositing Collaterals with Exchange/Clearing House/Clearing Member**

**To,**  
**Ambalal Shares and Stocks Private Limited**  
**Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City,**  
**Old Bypass Road, Vellore, Tamilnadu - 632004**

Dear Sir / Madam,

Subject: Authorization for Depositing Collaterals with Exchange/Clearing House/Clearing Member

I/We hereby authorize you that any securities placed by me/us as Margin may in turn be placed as margin by you with the Exchanges or Clearing Corporation or Clearing House/Clearing Member as you may deem fit and as may be permitted by exchange/SEBI from time to time. I/We further authorizes you to do all such acts, deeds and things as may be necessary and expedient for placing such securities with the Exchanges/Clearing Corporation/Clearing House/Clearing Member as margin.

In case if I/we wish to withdraw this authorization, I/we shall inform AMBALAL SHARES AND STOCKS PRIVATE LIMITED in writing and acknowledge by AMBALAL SHARES AND STOCKS PRIVATE LIMITED at least 15 days in advance from the date of withdrawal.

Yours faithfully,

Client Name	
Signature of Client	

**Authorization for Transfer of Funds And /Or Securities, Inter Segment and Inter Exchange**

**To,**  
**Ambalal Shares and Stocks Private Limited**  
**Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City,**  
**Old Bypass Road, Vellore, Tamilnadu - 632004**

Dear Sir / Madam,

Subject: Authorization for Transfer of Funds and/or Securities, Inter Segment and Inter Exchange

I/We here by 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 segment against collaterals/margins for my/our trade in another segment against collaterals/margins for my/our trade in another segment in the same exchange or different exchange.
3. 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 exchange 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 cheque. In case if I/we wish to withdraw this authorization, I/we shall inform the company in writing and acknowledge by company at least one week in advance from the date of withdrawal.

Yours faithfully,

Client Name	
Signature of Client	

**24. Authorisation for maintaining Running Account**

To,

**Ambalal Shares and Stocks Private Limited**  
**Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City,**  
**Old Bypass Road, Vellore, Tamilnadu - 632004**

Dear Sir / Madam,

I am a registered client with you, and am dealing in capital market / Equity derivative / currency derivative and Commodity derivatives segment.

I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the exchange. It is difficult for me to make available the required funds on every pay in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.

I request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/we instruct you otherwise.

Further it may be noted that if required I may revoke this authorization at any time after giving request in writing. This running account authorization would continue until it is revoked by me.

While settling the account having outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I shall bring any dispute arising from the statement of account or settlement so made to your notice to 30 working days from the date of receipt of funds or statement, as the case may be else it will be final.

I/We confirm you that the settlement of running account of funds will be done.

Once in every calendar Month / Quarter or higher period as allowed by SEBI / Exchange's time to time and also request you to release the funds and securities due to me / us on my / our specific request.

I am aware that this authorization can be revoked at any point of time by giving a notice in writing.

<b>This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below:</b>	
<b>Once in a Calendar Month</b>	<input type="checkbox"/>
<b>Once in a Calendar Quarter</b>	<input type="checkbox"/>
<b>Client Name</b>	
<b>Signature of Client</b>	

## 25. Request for Internet Trading & Request for SMS and Email Alerts

### Internet Trading

To,  
**Ambalal Shares and Stocks Private Limited**  
**Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City,**  
**Old Bypass Road, Vellore, Tamilnadu - 632004**

Dear Sir / Madam,

Subject: Internet Trading

I / We wish to trade through internet on BSE, NSE and MCX; 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 Internet Trading Order Routing System and unauthorized 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 Internet Trading Order Routing 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.

Yours faithfully,

Client Name	
Signature of Client	

### Request for SMS and Email Alerts

To,  
**Ambalal Shares and Stocks Private Limited**  
**Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City,**  
**Old Bypass Road, Vellore, Tamilnadu - 632004.**

Dear Sir / Madam,

Subject: SMS and Email alerts from Stock Exchange/s & Stock Brokers for my Trading Account Number with you.

I / We request you to activate the facility of SMS and Email alerts from Stock Exchange/s & Stock Brokers for transactions in the above mentioned trading account. Kindly note that if the mobile number / email ID mentioned here is different from the one provided in my KYC, then this mobile number and email ID shall prevail and I / We give my consent to details being used to this mobile number and email ID. Kindly update your records accordingly.

Yours faithfully,

Client Name	
Signature of Client	

## 26. Client Defaulter Declaration & PMLA Information for Investors

### Client Defaulter Declaration

To,

**Ambalal Shares and Stocks Private Limited**

**Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City,  
Old Bypass Road, Vellore, Tamilnadu - 632004.**

Dear Sir / Madam,

I, do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

Yours faithfully

Client Name	
Signature of Client	

### PMLA Information for Investors

The Prevention of Money Laundering Act (PMLA) came into effect from 1st July 2005. Necessary Notifications/Rules under the said Act were published in the Gazette of India on 1st July, 2005 by the Department of Revenue, Ministry of Finance, and Government of India. The PMLA has been further amended vide notification dated March 6, 2009 and inter alia provides that violating the prohibitions on manipulative and deceptive devices, insider trading and substantial acquisition of securities or control as prescribed in Section 12 A read with Section 24 of the Securities and Exchange Board of India Act, 1992 (SEBI Act) will now be treated as a scheduled offence under schedule B of the PMLA.

As per the provisions of the PMLA, every banking company, financial institution (which includes chit fund company, a co-operative bank, a housing finance institution and a non-banking financial company) and intermediary (which includes a stock-broker, sub-broker, share transfer agent, banker to an issue, trustee to a trust deed, registrar to an issue, merchant banker, underwriter, portfolio manager, investment adviser and any other intermediary associated with securities market and registered under Section 12 of the SEBI Act, shall have to maintain a record of all the transactions; the nature and value of which has been prescribed in the Rules under the PMLA.

Such transactions include:

1. All cash transactions of the value of more than Rs 10 lakh or its equivalent in foreign currency.
2. All series of cash transactions integrally connected to each other which have been valued below Rs 10 lakh or its equivalent in foreign currency where such series of transactions take place within one calendar month.
3. All suspicious transactions whether or not made in cash and including, inter-alia, credits or debits into from any non-monetary account such as Demat account, security account maintained by the registered intermediary.
4. It may, however, be clarified that for the purpose of suspicious transactions reporting, apart from 'transactions integrally Connected', 'transactions remotely connected or related' shall also be considered.
5. In case there is a variance in CDD/AML standards prescribed by SEBI and the regulators of the host country, branches/overseas subsidiaries of intermediaries are required to adopt the more stringent requirements of the two.
6. It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them to FINANCIAL INTELLIGENCE UNIT, a department specially set up to administer this Act under the Ministry of Finance.
7. The transactions which are supposed to be reported are cash transactions above rupees ten lakhs or series of cash transactions below ten lakhs but aggregating to above ten lakhs in a month or its equivalent in any foreign currency and the transactions which may not be in cash but suspicious in nature.
8. Any such above types of transaction, though not executed but attempted and failed are also required to be reported.
9. The suspicious transaction can be related to the transaction under the circumstances such as:
  - a. Clients whose identity verification seems difficult or clients that appear not to cooperate
  - b. Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing/business activity;

- c. Clients based in high risk jurisdictions;
- d. Substantial increases in business without apparent cause;
- e. Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
- f. Attempted transfer of investment proceeds to apparently unrelated third parties;
- g. Unusual transactions by CSCs and businesses undertaken by offshore banks/financial services, businesses reported to be in the nature of export-import of small items.

10. Clients of Special Categories may include:

- a. NRI/HNI/Trust/Charities/NGO/Organizations receiving donations
- b. Companies having close family shareholdings or beneficial Ownership
- c. Politically Exposed Persons
- d. Companies offering foreign exchange offerings
- e. Clients in high risk countries
- f. Non face to face clients
- g. Clients with dubious reputation as per public information available

11. No trading or Demat account can be opened in the name of entity whose name is listed on the banned entity list being maintained at United Nation's website at <http://www.un.org/sc/committees/1267/consolist.shtml>

12. While opening the new accounts all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under this act.

13. All the records of transactions and client identifications must be preserved in a manner which can be promptly retrieved and reported to the authorities in the specified format.

14. These are the highlights of the requirements under the Act. Clients/Sub-brokers/Authorized Persons/Remeshire are advised to go through the SEBI's master circular at <http://www.sebi.gov.in/circulars/2010/cirisdaml2010> for detailed information and understanding and also to visit the website of FIU - IND at <http://fiuindia.gov.in>

15. The clients are advised to co-operate with us by providing the additional information/documents, if asked for during the course of your dealings with us to ensure the compliance requirements under this Act

Client Name	
Signature of Client	

**27. Option for issuance of DIS booklet along with account opening**

<b>To be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker / Portfolio Manager and do not intend to open a Basic Services Demat Account</b>	
<b>Client Name</b>	
<b>Date</b>	
<b>Pan</b>	
<b>I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.</b>	
<b>Signature of Client</b>	

**28. Request for updation of same mobile number / email id**

<b>Client Name</b>	
<b>Mobile No</b>	
<b>Email Id</b>	

I hereby declare that the aforesaid mobile number belongs to:

I hereby declare that the aforesaid E-mail ID belongs to:

<b>Signature of Client</b>	
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## 29. RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENT

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 derivatives contract being traded on Stock exchanges.

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

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters in to 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 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 receive 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 predetermine price, or trades through such price, the stop loss order converts to a market limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security/derivatives contract might penetrate the predetermined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

#### **1.5 Risk of News Announcements:**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

denomination of the contract to another currency.

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

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

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

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

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

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

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

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

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

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

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

### **4. GENERAL**

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

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

Client Name	
Signature of Client	

## 30.. Guidance Note - Do's & Don'ts for Trading on the Exchange 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/](http://www.bseindia.com/) [www.nseindia.com](http://www.nseindia.com) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, 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 favor 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 favor of the stock broker. Don't issue cheques in the name of sub- broker. Ensure that you have a documentary proof of your payment/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 gives 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.

Client Signature			
	First / Sole Holder	Second Holder	Third Holder
<b>Signature of Client</b>			

### 31. Commodity Categorization

With reference to the SEBI Circular No. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 Dated, January 04, 2019, In order to enhance transparency to the public in Commodity Derivatives Markets and also as recommended by Commodity Derivatives Advisory Committee (CDAC), we request your consent for each Commodity on Self Declaration basis for the following to report to Exchange.

Sr. No.	Commodity	Client Category
Client Name		
Signature of Client		

### 32. ECN DECLARATION

To,  
**AMBALAL SHARES AND STOCKS PRIVATE LIMITED**

Dear Sirs,  
I/We, \_\_\_\_\_

a client with

M/s **AMBALAL SHARES AND STOCKS PRIVATE LIMITED**, Member of NSE/BSE undertake as follows.

- 1) I/We am/are aware that the Member has to provide contract note in respect of all the trades placed by me unless I/We myself/yourself want the same in the electronic form.
- 2) I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- 3) Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- 4) I/We have access to a computer and I/We am/are regular internet user, having sufficient knowledge of handling email operations.
- 5) My/our email ID is\*. \_\_\_\_\_ This has been created by me/us and not by someone else.
- 6) I/We am/are aware that this declaration form should be in English or any other language known to me
- 7) I/We am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the above e-mail ID.
- 8) I/We am/are responsible to update, if any change in My Email ID will be intimated to **AMBALAL SHARES AND STOCKS PRIVATE LIMITED**

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/We am/are aware of the risks involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

Client Name	
Email ID	
Signature of Client	

### 33. CLIENT DECLARATION CUM UNDERTAKING

I hereby confirm that I have read and understood the contents of the form including declarations, authorization and also verified the information in the form. I hereby confirm that I have digitally signed the form including declarations, authorizations and copy of documents at all places with inscription

'Digitally Signed by:-

Signature of Client	
---------------------	--

## Annexure A

### 34. Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Client Name	
Signature of Client	

### **35. Policy for Handling GOOD TILL DATE ORDERS 'GTD' orders**

#### **Policy Objective**

Exchanges vide circular NSE/INSP/62528 dated June 21, 2024, and 20240622-2 dated June 22, 2024, pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled"/ "Good Till Triggered" orders or orders of similar type.

The purpose of this document is to put in place a policy for such orders.

#### **Scope**

The Exchanges have stated that the policy shall include:

- > Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- > Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- > Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

#### **Definitions**

- For the purposes of this document, "Dealer" refers to any Ambalal Shares and stocks Pvt Ltd. employee or an employee of an Authorised person of ASSPL, entering orders on NSE and BSE trading platform. This would include Dealing Desk of ASSPL.

- "Dealing Desk" refers to the team designated to sit in the dealing room for client order execution.

#### **Details of Good Till Cancelled/Good Till Triggered/orders**

Ambalal Shares and stocks Pvt Ltd. ("ASSPL") enables its clients to place only "Good Till Date" (GTD) Orders.

1. GTD is an order facility through which a client can place buy and sell limit orders in the cash equities (includes ETF, Bonds and all other instruments listed in the capital market segment), equity derivatives and currency derivatives segment specifying the period for which the order instruction is valid. Since client has the right to define validity date ("order validity date"), this order type is called as Good Till Date (GTD) order.

2. Good Till Cancel (GTC) orders are not accepted. GTD orders can be accepted but they will be valid only till the end of the month in which they are accepted. If in certain circumstances the client needs to place an order which is good beyond the end of the month; the Dealing Desk can decide whether to accept such order or not. In case the Dealing Desk decides not to accept the order, Head of Dealing to approve the same.

3. Clients can place their GTD orders by calling their Service Manager/ Relationship Manager or the Dealing Desk.

4. All existing and new clients of ASSPL are eligible to avail GTD facility for order placement.

5. The facility of placing a GTD order is available in all segments and under Margin Trading Facility (MTF) product.

6. If a GTD order is not executed for the entire quantity, ASSPL is authorised to place fresh orders for the unexecuted quantity for the client on the subsequent trading days till the entire quantity is executed or till the validity expires, whichever is earlier unless cancelled by the client.

7. Client shall ensure that necessary funds/margins are available to place GTD orders in their account for the unexecuted quantity of the order.

8. In case the GTD order validity date falls on a non-trading day, the order is expired by ASSPL on the last trading day which falls prior to such order valid date which is a non-trading day.
9. All securities in BSE & NSE are eligible for placing GTD order.
10. Clients can modify the quantity or price of a GTD order by calling the Dealing Desk or their Service Manager/ Relationship manager.
11. All GTD orders can be cancelled by the Client by calling the Dealing Desk or their Service Manager/Relationship manager.
12. The Brokerage rates and applicable charges are same for normal transactions and GTD orders. Further, GTD orders shall be settled in the same manner as normal equity/ derivative market transactions.
13. Stop loss orders can also be placed with GTD validity.

**Handling and updating Clients of GTD orders in case of corporate actions**

All upcoming corporate actions including dividend, bonus, split, etc. shall be intimated to clients having unexecuted GTD orders at least one day prior to the ex-date of the corporate action by the Dealing Desk.

Clients shall review their GTD orders pro-actively whenever there may be impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

Post Corporate Action, GTD orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges.

**Policy Communication**

The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good Till Cancelled Orders of Client" and shall also be displayed on the ASSPL website. **Policy Review:** The said policy shall be reviewed on an annual basis.

We **AMBALAL SHARES AND STOCKS PRIVATE LIMITED – (ASSPL)** are engaged in **PRO Trading** in NSE & BSE Exchanges.

Client Name	
Signature of Client	

### 36.FATCA-CRS Declaration & Supplementary KYC information

#### Declaration Form for Individuals

Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance

PAN / PEKRN*									
Name									
Address Type [for KYC address]	<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business		Nationality		<input type="checkbox"/> Indian	<input type="checkbox"/> US	<input type="checkbox"/> Others	(please specify)	
Place of Birth				Country of Birth					
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> 1-5 Lacs	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs	<input type="checkbox"/> 25 Lacs - 1 Cr	<input type="checkbox"/> > 1 Crore	Occupation Details [Please tick any one (↓)]	<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others [Please specify] _____	
Net Worth in INR. In Lacs & Date [Optional]	_____ dd-mmm-yyyy								
Politically Exposed Person [PEP]	<input type="checkbox"/> Yes <input type="checkbox"/> Not Applicable			Any other information [if applicable]		_____ [Please specify]			

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India? Yes  No

If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick <input checked="" type="checkbox"/> the reason A, B or C [as defined below]
1				→ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
2				→ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>

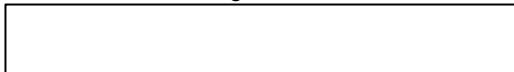
- Reason A → The country where the Account Holder is liable to pay tax does not issue TIN to its residents.
- Reason B → No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]
- Reason C → Others – Please specify the reasons \_\_\_\_\_

#### Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you [CAMS/Fund/AMC] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Date:  
Place:

Signature:



#### Acknowledgement

We [CAMS, on behalf of participating Mutual Funds] acknowledge the receipt of FATCA/CRS declaration form duly filled and signed from Mr. / Ms. / M/s. \_\_\_\_\_ PAN \_\_\_\_\_ on dd-mmm-yyyy

Date:

Signature with Name, Emp. ID & Seal

## FATCA & CRS Terms & Conditions

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

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

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green-card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

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

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body\*
- Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

**\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

### 37. Facility for voluntary freezing/ blocking of online access of the Trading account

The framework of this policy is to provide the facility of voluntary freezing/blocking the online access of the trading account to the client on account of suspicious activities in their trading account.

In case of any suspicious activities found by the client in their Trading account, they can avail the facility of voluntary freezing/blocking of their Trading account by reaching to us through the following modes.

- Email from registered e-mail ID –[stoptrade@ambalalshares.com](mailto:stoptrade@ambalalshares.com)
- Dedicated Telephone Number – 8220018115

The request received from the client shall be validated and the timeline for freezing/ blocking of the Online access of the clients' Trading account will be as under: -

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

The online access of the Trading account will be freezed/ blocked and all the pending orders in the Trading account, if any, will be cancelled. Post freezing/blocking the Trading account, a communication will be sent to the registered email ID of the client, stating the online access to the Trading account has been frozen/blocked along with the details of open positions (if any).

Further, the request to re-enable the online access of the trading account can be made by sending an email to [stoptrade@ambalalshares.com](mailto:stoptrade@ambalalshares.com) stating the Trading account details (i.e. UCC, PAN and Name) from the registered email ID of the client and the same will be processed after carrying out necessary due diligence including validating the client request.

Client Name	
Signature of Client	