HINDUSTAN TRADECOM

Client Registration Form

INDIVIDUALS

Member: NSE BSE DP-CDSL NCDEX MCX

Name of the Client/Applicant : _____

DP ID : | 1 | 2 | 0 | 6 | 5 | 0 | 0 | 0 | 0 | 0 | 0 | | | | | |

Client Code No.: _____

AP Code : _____ Ref. By _____

KYC Ref. No. : _____ KYC Reg. No. _____

ONLINE ☐ OFFLINE ☐ FORM NO. : _____

Financial Solutions
That You Need...

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3.	Policies & Procedures	Document describing significant policies and procedures of the stock broker	SEPARATE COPY FOR CLIENT
4.	Rights & Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub broker/Authorized Person and client for trading on equity and commodity exchanges (including additional rights & obligations incase of internet/wireless technology based trading).	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities & commodities market.	
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Name of stock broker/trading member/clearing member: HINDUSTAN TRADECOM PRIVATE LIMITED

SEBI Registration No. and Date: INZ000156539 / 18-09-2017

Regd./Corresponding Office Address: 402/101, Royal World, Sansar Chandra Road, Jaipur-302001
Ph.: 0141-4069600/4069615, **Fax**: 0141-4069606, **Website**: www.htplonline.com

Compliance Officer: Yuvraj Kanoongo (M) 9001747474, yuvraj@htplonline.com
CEO: Tara Chand Kanoongo (M) 9829010071, info@htplonline.com

For any grievance/dispute please contact: Hindustan Tradecom Pvt. Ltd. at the above address or e-mail at: ig@htplonline.com or call on: +91-9928312000.

In absence of response/complaint not addressed to your satisfaction- You may lodge a complaint with SEBI at https://scores.gov.in/scores/Welcome.html

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

ignse@nse.co.in	askus@ncdex.com	grievance@mcxindia.com	grievance@icexindia.com	Mahesh.ghadi@bseindia.com
022-26598190	022-66406084	022-67318888	022-40381546	022-22728286

HINDUSTAN TRADECOM PVT. LTD.

Know Your Client (KYC)

Application Form (For Individuals Only)

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

CDSL VENTURES LIMITED

....Exploring New Horizons

Intermediary Logo

Application Number:

Application Type*: New KYC Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

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+ (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+

(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)

Recent passport size Applicant Photo

(S1) Cross Signature across photograph

Signature of Client

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX_____ ___ (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+ _____ 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* _____

Line 2 _____

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 XXXX XXXX _____

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D —Driving License _____ (Expiry Date) _____

☐ E —NREGA Job Card _____

☐ F — NPR Letter _____

☐ Z—Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details (in CAPITAL)

Email ID* _____

Mobile No. * _____

Tel (Off) _____ Tel (Res) _____

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
	(S2) Signature of Client

5. For Office Use Only

In Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____	☐ Self certified document copies received (OVD)
Emp. Name _____	☐ True Copies of documents received (Attested)
Emp. Code _____	AMC / Intermediary Name :
Emp. Designation _____	
Employee Signature and Stamp	Institution Name and Stamp

HINDUSTAN TRADECOM PVT. LTD.

HINDUSTAN TRADECOM PVT. LTD.
101, Royal World, Sansar Chandra Road, Jaipur-302001
Phone : +91-141-4069600-630 Fax : 0141-4069606
E-mail : info@htplonline.com

Additional KYC For Trading & Demat Account

☐ I/we request you to open a ☐ trading ☐ Demat Account

Application No.

Date D D M M Y Y Y Y

DP ID	1	2	0	6	5	0	0	0	Client ID	0	0	0					

A. TYPE OF ACCOUNT INDIVIDUAL (Please tick whichever is applicable)

❑ Resident ❑ Promoter ❑ Margin ❑ Minor ❑ NRI (Type: _____) ❑ OTHERS (SPECIFY)_____

B. DETAILS OF ACCOUNT HOLDERS (In Case of Partnership , the account would be in the name of partner)

Holders Detaus

Sole / First Holder's Name		PAN	
		UID	
		$ UCC	
		$ Exchange Name & ID	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	

C.STANDING INSTRUCTIONS

Sr. No.	Authorisations	Please ✓ Relevant
1.	Consent to receive standard account opening documents in electronic form	☐ Yes ☐ No
2.	Consent to receive credits automatically into my/our Account. (If not ticked, the default option would be "Yes")	☐ Yes ☐ No
3.	Account to be operated through power of attorney (POA)	☐ Yes ☐ No
4.	Consent to send Electronic Transaction-cum-Holding Statement at Sole/First Holder's email id stated in the KYC	☐ Yes ☐ No
5.	Consent to share the email ID with the RTA	☐ Yes ☐ No
6.	Consent to avail of the facility of internet trading / wireless technology	☐ Yes ☐ No
7.	Mode of receiving Annual Reports & Statement of Accounts ☐ Physical ☐ Electronic ☐ Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)	
8.	Mode of receiving Contract Notes & Statement of Accounts ☐ Physical ☐ Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)	
9.	Account Statement Requirement ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly	
10.	Consent to receive dividend/interest directly into bank account given below through ECS (If not ticked, the default option would be "Yes")	☐ Yes ☐ No
11.	Accept all the pledge instruction in my / our account without any further instruction from my / our side.	☐ Yes ☐ No

D. BANK ACCOUNT DETAILS

Default Bank (Through which payout transactions would be generally routed)	Additional Bank
Name & Address : _____	Name & Address : _____
Account No.	Account No.
Account Type ☐ Saving ☐ Current ☐ Other: _____	Account Type ☐ Saving ☐ Current ☐ Other: _____
MICR Code	MICR Code
IFSC Code	IFSC Code

E. DEPOSITORY ACCOUNT DETAILS (Transactions would be generally routed through the below demat account.) (Default for Payout)

Depository : NSDL ☐ CDSL ☐ DP Name: _____

Beneficiary Name: _____ DP ID : _____ BO ID: _____

F. INVESTMENT/TRADING EXPERIENCE & PREFERENCE

☐ No Prior Investment Experience ☐☐ Years in Equities ☐☐ Years In Derivatives ☐☐ Years in other Investment Related Field

G. STOCK EXCHANGES ON WHICH YOU WISH TO TRADE

Cash ☐ NSE ☐ BSE	F&O ☐ NSE ☐ BSE	Currency Derivatives ☐ NSE ☐ BSE
(S3) ✓ Signature of Client	(S4) ✓ Signature of Client I have knowledge of trading in derivatives segment and am aware of risks associated therein	(S5) ✓ Signature of Client I have knowledge of trading in currency derivatives segment and am aware of risks associated therein

NCDEX	MCX	
(S6) ✓ Signature of Client I have knowledge of trading in derivatives segment and am aware of risks associated therein	(S7) ✓ Signature of Client I have knowledge of trading in derivatives segment and am aware of risks associated therein	

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1. Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off / mentioned as NA.
2. In future, if you need to trade in any additional Segment/Exchange, not opted above, separate authorisation letter will be required.
3. In case of trading in Derivatives it is compulsory to submit proof of Financial Details.

Details of any action/proceedings initiated /pending/taken by SEBI/Stock Exchange/any other authority against the Client during the last 3 years for violation of securities law/other economic offences (including action taken against relatives/associates) _____

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Gross Income Range Per Annum (Rs. in Lakhs)	☐ <1 ☐ 1-5 ☐ 5-10 ☐ 10-25 ☐ 25-1cr ☐ > 1cr	☐ <1 ☐ 1-5 ☐ 5-10 ☐ 10-25 ☐ 25-1cr ☐ > 1cr	☐ <1 ☐ 1-5 ☐ 5-10 ☐ 10-25 ☐ 25-1cr ☐ > 1cr
Networth : (should not be older than 1 year)	Amount (Rs.) _____ As on date d d m m y y y y	Amount (Rs.) _____ As on date d d m m y y y y	Amount (Rs.) _____ As on date d d m m y y y y
Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Other (Specify)	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Other (Specify)	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Other (Specify)
Please tick, if applicable:	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)		
Any other information :			
Details in case of Employed/ Business/Professional (Name of Employer/Establishment & Address & Nature of Business)	Name & Add. :_____ Nature :_____	Name & Add. :_____ Nature :_____	Name & Add. :_____ Nature :_____
Additional Details, if applicable. (Please tick one or more as applicable)	☐ Politically Exposed Person(PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ Bureaucrat ☐ Civil Servant ☐ Politician ☐ Current/Former MP, MLA or MLC ☐ Current/Former Head of State ☐ Not PEP / Related to PEP	☐ Politically Exposed Person(PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ Bureaucrat ☐ Civil Servant ☐ Politician ☐ Current/Former MP, MLA or MLC ☐ Current/Former Head of State ☐ Not PEP / Related to PEP	☐ Politically Exposed Person(PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ Bureaucrat ☐ Civil Servant ☐ Politician ☐ Current/Former MP, MLA or MLC ☐ Current/Former Head of State ☐ Not PEP / Related to PEP
Any other information	_____	_____	_____
Mobile Number Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Mobile number as per KRA KYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Family PAN_____ Consent for SMS Alert facility ☐ Yes ☐ No	I hereby declare that the Mobile number as per KRA KYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Family PAN_____ Consent for SMS Alert facility ☐ Yes ☐ No	I hereby declare that the Mobile number as per KRA KYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Family PAN_____ Consent for SMS Alert facility ☐ Yes ☐ No
Email ID Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Email ID as per KRA KYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Family PAN_____	I hereby declare that the Email ID as per KRA KYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Family PAN_____	I hereby declare that the Email ID as per KRA KYC belongs to ☐ Self OR ☐ Family*(specify relation) ☐ Spouse ☐ Dependent Children ☐ Dependent Parents Family PAN_____
FATCA Declaration			
Is your Tax Residency/Country of Birth/Citizenship/Nationality other than India?	☐ Yes ☐ No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	☐ Yes ☐ No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	☐ Yes ☐ No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____
If yes, please indicate all countries in which your are resident for tax purpose and the associated Tax ID number below:			
Country of Tax Residency# Tax Identification Number* Identification Type	_____ _____ _____	_____ _____ _____	_____ _____ _____
Country of Tax Residency# Tax Identification Number* Identification Type	_____ _____ _____	_____ _____ _____	_____ _____ _____

#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA.
*Incase tax identification number is not available, kindly provide its functional equivalent

H. INTRODUCER DETAILS (Optional)

Name & Address of the Introducer:_____

Status of the Introducer: Sub-broker/ Remisier/ Authorised Person/ Existing Client/ Director or Employee of Trading Member/ any other Person (Please Specify) _____ Mobile No. / Tel. No. : ☐☐☐☐☐☐☐☐☐☐

Proof of Identity (POI) : ☐ PAN No.☐ Passport No.☐ Driving Licence ☐ Voter ID ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

I. Details of Guardian (In case the account holder in minor)

Guardian's Name		PAN	
Relationship with Applicant			

Signature: _____

Nomination Details

Date

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

UCC / DP ID		Client ID	

Nomination Details

Up to 3 nominations can be made	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms.)			
Share of each nominee ☐ Distribute equally [If not equally shared, please specify %age]	%	%	%
	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
Relationship With the Applicant (if any)			
Address of nominee(s)			
Mobile/Telephone no. of nominee(s)			
Email ID of nominee(s)			
Nominee Identification Details: (Please tick any one of the following and provide details of the same) * Photograph & Signature * PAN * AADHAAR * Saving Bank A/c Number * Demat Account ID			
Fill below details only if the nominee is a minor			
Date of birth			
Name of the guardian			
Address of guardian(s)			
Mobile/Telephone no. of guardian(s)			
Email ID of guardian(s)			
Relationship of guardian with nominee			
Proof of identity submitted			

Name(s) of Holder(s)		Signature(s) of Holder(s)*
Sole / First Holder (Mr. / Mrs.)		(S9)
Second Holder (Mr. / Mrs.)		
Third Holder (Mr. / Mrs.)		

*

Note:

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Trading Member / Depository Participant shall provide acknowledgment of the nomination form to the account holder(s).

Declaration Form for opting out of nomination

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To Hindustan Tradecom Private Limited 402, Royal World, Sansarchandra road, Jaipur-302001.	Date	D	D	M	M	Y	Y	Y	Y
UCC/DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name and Signature of Holder(s)*

(S10) First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder

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

Details Of Witness	
Name of Witness	
Address of Witness	
Signature of Witness	

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. 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 depositor y 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).

BOID | | | | | | | | | | | | | | | | |

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent | **+91** | | | | | | | | | | |

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

The mobile number is registered in the name of: _____

Email ID: _____

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

	Sole / First Holder	Second Holder	Third Holder
SIGNATURE	(S11) ✓ Signature of Client		

Place: _____ Date: _____

Tariff for Individual & Corporate Account (For CDSL)

	SCHEME 1	SCHEME 2	SCHEME 3
Charges Description	**General AMC**	**LIFE TIME AMC** For Individual / Huf	**BSDA**
Account Opening & Closing	Nil	Nil	Nil
Annual Maintenance	For Individual - Rs.250 /- Corporate Rs. 1000/-	For Individual /Huf Only Rs.1000 /-	Nil (For valuation below Rs. 50000/-)Rs.100/- (For valuation Rs.50001/- to 2 lac)
Transaction (Debit)	0.004% of Value or Rs.15/- whichever is higher Subject to Max 300/-Rs. Per Instruction	0.004% of Value or Rs.15/- whichever is higher Subject to Max 300/-Rs. Per Instruction	0.004% of Value or Rs. 30/- whichever is higher Subject to Max 300/-Rs. Per Instruction
Purchase (Market and Off Market)	Nil	Nil	Nil
Freeze & Unfreeze	Rs.50/- Each	Rs.50/-	Rs.50/-
Postage per Demat Request (Maximum 9 Certificate)	Rs.50/- Each	Rs.50/-	Rs.50/-
Dematerialization	Rs.25 per Certificate	Rs.25 per Certificate	Rs.25 per Certificate
Rematerialization	Rs.25 per request	Rs.25 per request	Rs.25 per request
Pledge Creation/Closure/Invocation	0.003% of Value (Min.Rs.25/-)	0.003% of Value (Min.Rs.25/-)	0.003% of Value (Min.Rs.25/-)
Rejection charges - DRF & Instruction Slip	Rs.15	Rs.15	Rs.15
Additional statement (other than free Monthly)	Rs.15/- per statement	Rs.15/- per statement	Rs.15/- per statement
DIS book other than First	Rs.40 per Book of 10 Leaves	Rs.40 per Book of 10 Leaves	Rs.40 per Book of 10 Leaves

General Clauses:

- A/c Defreeze charges Rs.50 per request.
- Hindustan Tradecom Pvt Ltd reserves the right to revise the tariff structure by giving 30 days notice.
- Value of transaction will be in accordance with the rates to be provided by CDSL
- In case of delay in the payment of charges ,the Demat account will be frozen all operation till such time all dues are cleared subject to 30 days notice on the payment due date.
- Out of pocket expenses incurred dispatch of securities for Dematerialization and communication charges incurred on out station call /faxes made specifically on request of client will be charged on actual basis.
- Modification in Client master Rs.40 Extra per Instance.

Other Terms

- Free Access to on line depository Back office.
- Transaction and Holding statement will be sent digitally.
- Late/same day Instruction are accepted at clients Risk.
- Any services not quoted above will be charged separately.
- All Statutory and CDSL charges will be levied as applicable from time to time.
- Fees scheduled is based on Existing CDSL Charges and is subjected to change at the sole discretion of Hindustan Tradecom Pvt. Ltd.
- Payments through cheque /DD should be in favour of Hindustan Tradecom Pvt. Ltd. Payable at Jaipur
- The BO unconditionally authorise Hindustan Tradecom Pvt. Ltd. And has no objection in charging the depository services bill to his /its under mentioned trading accounts / Trading code maintained with the stock broker
- In case of nonpayment of bills dues within 15 days of due date interest shall be charged @ 1.5% p.m. On the outstanding dues or Rs 25/- Minimum whichever is Higher.
- The depository services are liable to be discontinued on such default.
- The general charges for resuming the services will be Rs.100 per instance.
- Life time AMC here means 10 Years

GENERAL AMC ☐ LIFE TIME AMC ☐ BSDA ☐

☐ I want to opt for _____ Scheme.

☐ I wish to opt out of BSDA Scheme although I may be eligible for the same.

	Sole / First Holder	Second Holder	Third Holder
SIGNATURE	(S12) ✓ Signature of Client	✏	☞

M. BROKERAGE STRUCTURE

	Capital Market		F & O					Currency				
			FUTURE			OPTION		FUTURE			OPTION	
	%	Min (Paisa)	%	Min (Paisa)	Min (Lot)	%	Min (Lot)	%	Min (Paisa)	Min (Lot)	%	Min (Lot)
Intraday												
Delivery												
Other Charges												

COMMODITY

EXCHANGE	BROKERAGE ON TURN OVER %	DELIVERY BROKERAGE	OTHER CHARGES
MCX			
NCDEX			

Note : All Statutory and Exchange Charge will be levied as applicable from time to time. In case of Physical Contract note are being dispatched to client, a difference of Rs. 25/- per in total brokerage booked on a particular date would be charged towards minimum processing fee.

DECLARATION

1. I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case of any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I may be held liable for it.
2. I/we confirm having read, explained and understood the contents of policies and procedures, terms & conditions governing Stock Broker, Risk Disclosure Documents & Do's & Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants & the tariff sheet, as available on the website of the company. I am further aware that a copy of terms & conditions governing Stock Broker, Risk Disclosure Document, Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document.
3. I/we have read and agreed to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my trading and demat account, as are in force from time to time.
4. I/We understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CBDT or close or suspend my account.
5. I/we confirm having read and understood the guidelines pertaining to BSDA and is eligible to open a depository account as a BSDA holder. I will comply with the said guidelines and that in case my/our Demat Account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to Regular Demat Account without further reference to me / us and will be levied charges as applicable to regular accounts (applicable only if consented for BSDA facility).
6. I, the holder of Aadhaar number as mentioned in the KYC, hereby agree & give my consent to Hindustan Tradecom Pvt. Ltd. to obtain my Aadhaar number, Name and Fingerprint/ Iris for authentication with UIDAI. Hindustan Tradecom Pvt. Ltd. has informed me that my identity information would only be used for Account Opening purpose and also informed that my biometrics will not be stored / shared and will be submitted to CIDR only for the purpose of authentication.

	Name(s) of holder(s)/client	Specimen Signature of holder(s)/client
Sole/First Holder/Guardian		(S13) ✓ Signature of Client
Second Holder		
Third Holder		

Date:_____ Place:_____

Disclosure Information (For Hindustan Tradecom Pvt. Ltd.)

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

CLIENT DECLARATION

A. CLIENT DECLARATION - OPEN INTEREST POSITION:

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I / We hereby declare and undertake that I / we will not exceed the position limits prescribed from time to time by Commodity Exchanges or Forward Markets Commission and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.

I/We undertake to inform you and keep you informed if I / any of our partners / directors / karta / trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such person is a partner / director / karta / trustee, takes or holds any position in any commodity forward contract / commodity derivative on Exchanges through or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.

I / We confirm that you have agreed to enter order in commodity forward contracts / commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking.

I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges / SEBI.

(S14) ✓

Signature:

B. CONSENT TO INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY):

I / We request you to maintain my/our accounts for funds on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a payout of available free funds in the account. You may settle the accounts at

Monthly
Quarterly

or at such other intervals as SEBI/ Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Exchanges/SEBI from time to time or towards other unbilled services and/or charges applicable on my account, while settling the accounts.

I/We further authorize you to also retain an amount of up to Rs. 10,000/- (Ten Thousand Only) or any other sum as may be permitted by SEBI / Exchanges from time to time, while settling my / our account. I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that HTL shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

(S15) ✓

Signature:

C. CONSENT FOR ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION (VOLUNTARY):

I, _____, Client Code _____, PAN _____, registered with you as a client of Multi Commodity Exchange of India Ltd (MCX), and/or National Commodity & Derivative Exchange Ltd (NCDEX),NSE,BSE undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am Voluntarily requesting for delivery of electronic contract note pertaining to all trades carried out/ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____(the email id must be written in own handwriting). This has been Created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am 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.

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

(S16) ✓

Signature:

ADDITIONAL - VOLUNTARY TERMS AND CONDITIONS (EQUITY & COMMODITY)

Whereas the client intends to open securities / commodities trading accounts with Hindustan Tradecom Pvt. Ltd., (hereinafter referred as HTL) for the purpose of trading in Capital Market Segment , Futures & Options and Currency Derivative Segments and Commodities Futures & Options of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., Multi Commodity Exchange, National Commodity & Derivatives Exchange Limited and Mutual Fund transactions Facilities offered by Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by HTL and also the additional services that may be made available by HTL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. **Authorization to debit additional charges with regard to Trading and Demat Account:** Without prejudice to the other rights and obligations of the parties, the client understands and agrees that HTL may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account / Counter Demat account for any service rendered by HTL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with HTL.
2. **Lien:** All securities, commodities funds and/or properties (Any assets available with HTL) of the Client as may be permitted by the Exchange(s) from time to time to be placed with HTL shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of HTL. HTL shall be entitled to withhold such securities, commodities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, commodities, funds or properties at its sole discretion & at any point of time, without notice to client.
3. **Authorization for delivering / pledging shares:** The client understands and agrees that HTL may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of HTL to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.
4. **Authorization for Inter segment fund balance transfer and stock transfers:** The client hereby authorizes HTL to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment including commodities segment to its ledger account in any other segment including commodities segment or to transfer any stock purchased/lying in its account in any segment including commodities segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of HTL.
5. **Disclaimer:** The Client understands and agrees that neither HTL nor any other party disseminating any market data, message or information through the Website of HTL or in any other media shall be liable for:

(a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or

(b) **Any loss or damage arising from or occasioned by** (i) Any such inaccuracy, error, delay or omission, (ii) Non- performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by HTL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labor dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of HTL or any disseminating party.

6. **Manner/Mode of placing orders/instructions & Non-execution/delay/cancellation of Orders:** The Client may communicate orders and other instructions to HTL or the sub- broker/authorized person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. The client hereby agrees that HTL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading beyond the control of HTL or the Exchange.
7. **Client not to act on representations of agents, employees:** Client is aware that HTL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of HTL.
8. **Recording of Conversation:** The client is aware and agrees that HTL may tape record the conversation between the client/client's representative and HTL, whether over the telephone or in person, as per applicable laws, rules and regulations of SEBI / Exchanges. HTL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
9. **Confidentiality of Client Details:** HTL may disclose the client information to any person /entity as required under the law or to any broker's Association or organizations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by HTL to any person or entity including but not limited to any independent third parties or any entities of HTL Group, whether within or outside India, of any information and data relating to Client or relating to Client's trading account with HTL for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
10. **Disclosure as to Proprietary Trades by HTL:** HTL may carry out proprietary trades in addition to trades on behalf of its Clients.
11. **Severance:** In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
12. **No Waiver:** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver

of any rights, unless the waiver is specifically agreed in writing.

13. Notices: All notices or communications issued by HTL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:

13.1 (a) By ordinary post or (b) By registered post or (c) By express delivery post or (d) by SMS on registered mobile or by telephonic call or (e) By affixing it on the door at the last known business or residential address or (f) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (g) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (h) By publishing it on the website of HTL wherein secured log-id and password to Client is provided or (i) By a notice posted on the notice board of the Exchange if no address be known or (j) By electronic mail or fax or (k) By hand delivery or By Courier or any other approved mode as may be allowed for communication.

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

14. Electronic Contract Note (ECN):

14.1 Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing HTL in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent.

14.2 The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform HTL either in writing or via E-mail within reasonable time of the receipt of the same. HTL shall also publish the Contract Note on the Web site www.htplonline.com or on any other designated location specified by HTL from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, HTL may,on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advice HTL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.

15. Electronic Transmission of other Documents: The Client who have opted for ECN agrees that HTL may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices / communications document mandated by SEBI/Stock Exchange/Depository in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, HTL shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of HTL within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.

16. Electronic Payment Gateway for Net Banking Services: HTL may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with HTL. Client understands that HTL is only providing access to the electronic fund transfer facility provided by the banker of the Client through HTL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make HTL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that HTL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.

17. Internet / Wireless Technology based Trading facility:

17.1 HTL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to HTL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by HTL by complying with the formalities prescribed therefore.

17.2 Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as HTL may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of HTL.

17.3 The client understands and agrees that HTL has different product of the Internet Trading /Wireless Trading software which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of the client, HTL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

17.4 Orders of Client subject to review by HTL: The Client agrees that the HTL may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order.

18. Extra Ordinary Events and termination/suspension of trading facility: HTL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond HTL's control resulting in non- execution, partial or incomplete execution of orders and the resulting financial loss, if any HTL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

19. Amendments to the terms and conditions: HTL reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client. In the event where the client has not objected to revised terms and conditions within 15 days of receiving the notification, the same shall be binding on the client.

20. Mutual Fund Service System Facility / BSE Star MF: Client is registered with HTL Broking and has executed Know Your Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). Incase client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by the client

for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). Client is aware that he/she can transact directly with the AMC without recourse to Distributor's name at any time under the folio(s) tagged with the Distributor's name /broker code. The Client agrees and authorizes HTL as distributor of mutual funds to communicate on his/her behalf with the AMCs for financial and /or non-financial transactions including for receiving investment details from the AMC.

21. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this mandatory and voluntary client / registration document, any dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.

ADDITIONAL - VOLUNTARY TERMS AND CONDITIONS (COMMODITY)

1. Setting up of Exposure Limits:

1.1 HTL may sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of funds / securities / bank guarantees / fixed deposit receipts. HTL at its sole discretion may refuse to accept any security as collateral/margin. HTL shall from time to time publish a list of securities which would be acceptable as collateral / margin. In setting exposure limits for the Client, HTL shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of HTL and such other factors or conditions which HTL may consider relevant for the purpose. HTL reserves liberty to vary the trading / exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk profile of the Client.

1.2 Neither HTL, nor any affiliate of HTL nor their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees and expenses) arising from any variation or reduction of exposure or turnover limits by HTL.

2. Client to have a Mobile connection: Client agrees to have a mobile connection as a pre-condition to opening & maintaining the a/c with HTL & undertakes to notify HTL promptly whenever he/she/it obtains a new mobile connection in replacement of a mobile previously notified to HTL.

3. Aggregation of open market positions of the Client by the Exchange: Client agrees that if the Exchange directs / advise HTL to reduce the exposure of the Client in any outstanding open interest in any contract, because the market exposure of the client in the contract, individually, or taken together with that of related parties, exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of HTL in the contract, HTL may square off the open market positions of the client in the contract as directed by the Exchange. client also agrees that, though HTL may on a best effort basis inform the client of the direction given by the Exchange, it is under no obligation to inform the client and/or obtain client's consent prior to squaring off the positions under this clause and all losses, if any, arising from such squaring off shall be to the account of the client. **4. Payment of Full Contract Value:** Client agrees to pay HTL for all open buy positions, excepting both side option contract

positions, full contract value less the free surplus fund of the client, if any, already with HTL, one day prior to the commencement of the tender period for the respective contract, and if that day is a bank holiday, on the day immediately preceding that day which is bank working day. If the Client makes a default in making payment as above, HTL at its discretion may square off all or part of the open positions of the Client and all and any losses arising thereout shall be to the account of the client.

5. Execute / Self / Wash / Match trades: Orders of buy and sell placed at such rates and within such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by HTL without prejudice to its other rights to impose penalty on the client and/or deregister the client. HTL may also report such instances to the Exchange or the Regulator for appropriate action at their end.

I/We hereby state & confirm that I have read & understood the terms & conditions as mentioned above & agree to abide by the s ame.

For Hindustan Tradecom Pvt. Ltd.

Authorized Signatory: _____

Designation:

Date:

(S17) ✓

Signature of Client

RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED TO CLIENTS (VOLUNTARY)

1. HTL is permitted to extend MTF to the clients on such terms and conditions as specified by the Stock Exchanges / SEBI from time to time and as mutually agreed by and between HTL and the Clients. This Rights and Obligation comprises the terms and conditions applicable to MTF and HTL and clients shall abide by the same and any other requirements of the margin trading framework, including other rights and obligations, if any, prescribed by the Stock Exchange/ SEBI/ HTL form time to time. Any modifications to the terms and conditions, other than those prescribed by SEBI/Stock Exchanges, shall be intimated to the Clients giving 15 days notice in advance.
2. Equity Shares that are classified as 'Group I Security by SEBI only shall be eligible for MTF. HTL, at its discretion, may not provide funding under MTF to certain equity shares though classified to be Group I Security by SEBI. Equity shares shortlisted by HTL for funding (Approved List) shall be as displayed on HTL's trading website from time to time.
3. Initial margin, increased margin, margin shortage, margin calls, maximum allowable exposure, maximum stock specific exposure, trade confirmation, square off intimation and such other information in relation to MTF shall be communicated to the Clients electronically through one or many or all of the following modes, viz email, SMS, WhatsApp, mobile notifications, and additionally through telephone calls.
4. In order to avail of margin facility, the minimum initial margin required to be provided by the Clients, as prescribed by SEBI/Stock Exchanges, is as under: VaR + 3 times of applicable ELM in case of F & O Stocks (i.e., stocks available for trading in the F&O Segment. VaR + 5 times of applicable ELM in case of stocks other than F & O Stocks. VaR and ELM shall mean VaR and ELM as applicable to respective stocks in the cash segment.
5. Client shall be required to provide the minimum initial margin as applicable for a particular stock to buy that stock under MTF. The margin shall never be lower than that prescribed by the Stock Exchange/SEBI. However, HTL shall have the right to demand a higher initial margin than the margin prescribed by SEBI/Stock Exchanges.
6. Subject to the initial margin as aforesaid, HTL may, at its sole and absolute discretion, revise and increase from time to time the margin required for any stock permitted to be traded under MTF. Where client has exposure in the stock in respect of which margin has been revised but does not already have sufficient credit in the account to meet increase in margin, Client shall pay margin found short within the time prescribed for making margin payment.
7. Applicable minimum initial margin, increased margin, margin shortfall, if any, can be paid in the form of cash, cash equivalent, or Group I equity shares with appropriate hair cut as specified in SEBI Master Circular No. SEBI/HO/MRD/DP/CIR/P/2016/135, DTD. 16/12/2016. Client shall have the right to change collateral securities provided under the MTF with other collateral securities provided that such other collateral securities are approved and sufficient to meet the margin required.
8. Margin requirement on shares purchased under MTF shall be computed by grossing applicable margin i.e., minimum initial margin plus increased margin, if any, on each stock and shortage computed accordingly by deducting available margin from gross margin. Collateral shares and shares purchased under MTF (Funded Shares) shall be marked to market daily for the purpose of computing the margin/shortage of margin.
9. Applicable minimum initial margin and increased margin, if any, shall be kept supplied at all times by the clients in respect of the stocks purchased under the MTF. Client shall pay any shortage in the required margin immediately on receiving demand (margin call) and in any case not later than 11.00 P.M on the trade day following the day of making the margin call (prescribed time) failing which HTL shall be at liberty to liquidate the funded shares and/or collateral shares to recover the dues outstanding in the account of the Clients. In case of extreme volatility in the market, HTL may demand payment of margin forthwith and prescribed time for making margin payment shall be construed accordingly. Decision of HTL in relation to market volatility shall be final and binding without HTL having to provide any reason for the decision to the Client.
10. If required margin is not provided within the prescribed time, Client shall be treated as client in margin default. HTL shall not be obliged to notify the client in margin default of the liquidation of shares, ahead of liquidation. HTL shall not be obliged to liquidate shares proportionate to the shortage in margin.
11. Client in margin default shall continue to be in margin default, until the required margin is furnished in full to eliminate the shortage. Partial payment of margin or a change in the required margin shall not extend the time stipulated for making margin payment which will run from the time of making margin call to the Client.
12. In case margin is reduced by an amount equal to applicable ELM component of the total margin due to market volatility within a trading day (i.e., available margin becomes equal to or less than applicable VAR margin), HTL reserves the right to liquidate the collaterals and/or funded shares forthwith without prior notice to the client.
13. MTF Clients purchasing shares not specified in HTL Approved List of Group 1 securities shall be required to 100% margin upfront for such purchases.
14. If any shares are delisted from HTL Approved List, Client shall be required to make payment of full purchase consideration against such shares on receiving margin call within the prescribed time, failing which HTL shall be at liberty sell such shares without further notice to the Client.
15. If a client is debarred by orders of lawful authority from trading in the securities market, HTL shall liquidate collateral and funded shares of the client to recover its dues to the full extent forthwith.
16. In case of death of a client, HTL shall be entitled to liquidate the collateral and funded shares under MTF and recover the unpaid outstanding due.
17. Any loss arising from liquidation of the shares shall to be account of the Client. Client shall forthwith pay HTL any unpaid dues outstanding in the account after liquidation of the shares.
18. HTL reserves the right to withdraw MTF with respect to any Client without assigning any reason after giving a reasonable notice to the Client in which case dues if any outstanding in the account of the Client shall become payable immediately. Failure to make payment of the outstanding dues shall result in liquidation of collateral and/or funded shares held in Client's account.
19. Client may terminate the MTF account after paying all dues in the MTF account.
20. HTL shall not use the funds and securities of one client to provide MTF to another client, even on the authority of the client.

21. The stocks deposited as margin collateral and funded stock shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount.
22. HTL may at its option allow client to buy further shares under MTF on the basis of increase in the value of collateral shares, subject to applicable hair cut. Further purchase shall not be permitted on the basis of increase in the market value of funded shares.
23. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.
24. HTL shall restrict the maximum gross exposure as well as individual stock-wise exposure of a client under the MTF at any point in time according to its internal policies and market views without assigning any reasons to the client. Furnishing applicable margin shall not by itself entitle the client to seek exposure beyond the limit restricted by HTL.
25. Admitting clients for MTF shall be at the discretion of the Stock Broker/Trading Member. Clients request for admission to MTF may be disallowed without assigning any reason.
26. By agreeing to avail of MTF, the client shall be deemed to have authorized HTL to retain and/or pledge the shares purchased under MTF (funded shares) and collateral shares provided as margin till the amount due in respect of the purchase and all other dues are paid in full by the Client.
27. All outstanding dues under MTF shall carry interest @18% p.a, compounded at fortnightly rest.
28. Outstanding dues shall not be carried in the books beyond 90 days from the date of accrual and in case Client fails to pay up the dues within the said 90 days, collateral and/or funded shares shall be sold to liquidate the dues, even though applicable margin is available in the MTF account of the Client. For this purpose, 90 days shall be computed with respect to each debit entry in respect of purchases under MTF separately and liquidation shall be carried out accordingly. HTL shall have discretion to sell any stock/stocks to liquidate the outstanding dues older than 90 days.
29. Client shall be free to take delivery of the shares purchased under MTF anytime, but not later than 90 days, from the date of funding by making full payment of the outstanding dues in relation to the shares purchased.
30. Until full payment of the outstanding dues in the MTF A/c is made by the Client, collateral shares and funded shares, as far as may be required, shall be retained in the Demat A/c of HTL, separately identified as collateral shares and funded shares.
31. Daily margin statement sent to the MTF clients shall identify margin/collateral for MTF transaction separately.
32. MTF account where there is no transaction under MTF for more than 90 days shall be settled immediately on expiry of said 90 days provided there are no dues outstanding in the MTF account. Dues if any outstanding in the normal trading account shall be first adjusted against the settlement amount and the remainder shall be paid to the Client.
33. HTL shall declare and communicate to the Client risk management policies that it will follow with respect to MTF transactions. HTL may amend the policies from time to time according to its risk perceptions and inform the Clients of the amendments made.
34. Any disputes arising between the client and HTL in connection with the margin trading facility shall be resolved through the investor grievance redressal mechanism and/or arbitration mechanism of the stock exchanges as in the case of normal trades.
35. The Rights and Obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular No. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011, SEBI Circular No. CIR/MRD/DP/54/2017 Dtd. June 13, 2017, the Circulars relating to MTF issued by the respective Stock Exchanges, any modifications thereto from time to time and the Policies and Procedures prescribed by HTL and the terms and conditions of client's agreement with HTL. In case of any inconsistencies between the Rights and Obligations herein and the provisions in the aforesaid SEBI and/or Stock Exchange Circulars, the later shall prevail to the extent of such inconsistencies

I would like to avail of Margin Trading Facility and agree to the above Rights & Obligation.

(S18) ✓

Signature of Client

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

General Clause

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

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

Beneficial Owner information

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

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

Fees/Charges/Tariff

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

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

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

Dematerialization

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

Separate Accounts

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

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

Transfer of Securities

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

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

Statement of account

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

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

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

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

Manner of Closure of Demat account

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

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

parties to their satisfactory completion.

Default in payment of charges

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

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

Liability of the Depository

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

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

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

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

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

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

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

ADDITIONAL RIGHT AND OBLIGATIONS

32. "HTPL shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI". Accordingly, SEBI Circular No.CIR/MIRSD/16/2011 dated August 22, 2011 stands amended to this extent.

(S19) ✓

Signature of Client

Date:
ANNEXURE-A

DEMAT DEBIT AND PLEDGE INSTRUCTION

Sr. No.	PURPOSE	SIGNATURE OF THE CLIENT		
		First/Sole Holder	Second Holder	Third Holder
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	(S22) ✓		
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	(S23) ✓		
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	(S24) ✓		
4	Tendering shares in open offers through Stock Exchange platforms	(S25) ✓		

HTPL DESIGNATED DEMAT ACCOUNT NUMBERS		
EXCHANGE	NSE (CM ID: M51389)	BSE (CM ID: 6188)
Pool Account	12065000-00000926	12065000-00001005
Early Pay-in A/c	11000011-00018237	11000010-00021752
Client Collateral	12065000-00085889	
Pool A/c (SLB Segment)	12065000-00041547	
Early Pay-In (SLB)	11000023-00000976	
TM Pool Account	12065000-00111255	

	NAME	ADDRESS
First / Sole Holder (Trading Account Client)		
Second Holder		
Third Holder		
Demat Account No.	12065000-	

For HINDUSTAN TRADECOM PVT. LTD.

Authorised Signatory
(HO purpose only)

Perforated

HINDUSTAN TRADECOM PVT. LTD.

FOR OFFICE USE ONLY

Demat A/c Allotted to the Client : .....

	Document verified with Originals	Client Interviewed By	In-Person Verification Done By
Name of Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

.....

Signature of the Authorised Signatory

Date.....

Seal/ Stamp of the Dp Official/ Stock Branch

ACKNOWLEDGEMENT

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of KYC, RDD, Rights & obligations, Do s & Dont s, policies & procedures and all other documents as executed by me/us. I/We acknowledge that the other details related to my/our account are as under :

Trading Code.....

UCC/DP ID .....

My Email Id.....

Signature of Client

(S26) ✓

HINDUSTAN TRADECOM

OUR SERVICES

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- DERIVATIVE
- CURRENCY
- EQUITY
- DEPOSITORY
- MUTUAL FUND
- ALGO TRADING
- MTF
- SLBM
- IPO
- GLOBAL INVESTMENT
- LAS
- MOBILE TRADING APPLICATION

Member: NSE BSE DP-CDSL NCDEX MCX

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