Asit C. Mehta
INVESTMENT INTERRMEDIATES LTD.

Form No.:

Common Client Code:

BOID:

Account Opening Date:

Inward No:

BA Code:

KRA Complaint: Yes/No

CKYC Number (if available): _____

# INVESTPLUS ACCOUNT
## NON-INDIVIDUAL REGISTRATION KIT

Cash Trading + Derivative + Currency Derivative + Depository Account + IPO + MF

INVESTMENTZ.COM
By Asit C. Mehta
A Pantomath Group Company

## CHECKLIST

A. Important Points on form Filling.

Please take care of below points at the time of filling form

1. Form to be filled legibly in **BLOCK LETTERS** and in **BLACK INK** only
2. Enclose valid set of documents such as ID proof , Address proof , bank proof , Financial Proof ( Mandatory for Derivative a/c only ) , Entity documents as per check list given under Point No B.
3. All documents / Photocopies of documents submitted along with form should be Self-attested by client(s) / Authorized Signatories / Directors of the entity under Entity seal.
4. All Photocopy of documents submitted along with the form should be properly signed and stamped by authorized person of ACMIIL / Associates as per ACMIIL internal Circular.
5. If any proof is in Non English language, then translation into English is required.
6. Please mentioned Complete address on the form, it should not be short address. Where ever possible, room no, building name, road name, nearest known landmark should be mentioned.
7. In case of Correspondence & Registered office address are different, then proof for both the address should be submitted.
8. Name, Address, Bank details mentioned on the KYC form should match with the corresponding documentary proof submitted.
9. Please strike-off the Blank details on the form, which are not applicable.
10. Please affix (Do not staple) photographs of all holders / Authorized signatories / Directors / Partners / promoters at appropriate place provided & sign across the photograph as Partly is on the form & partly on the photograph.
11. Please submit KYC documents on A4 size paper only.
12. Please mention Brokerage scheme no at appropriate box on the form.
13. Please mention RC No / RC name where client's a/c would be mapped correctly on the form.
14. In case Cash / MF / IPO segment is opted then DP is mandatory.
15. Common KYC form to be duly filled & attach a set of documents mentioned in checklist.
16. UB**O** Form

B. List of Documents to be submitted along with Form for non-individuals Additionally.

| Types of entity | Documentary requirements |
|---|---|
| **Corporate** | 1. PAN card of the corporate entity.<br>2. PAN Proof of all authorized signatories to be submitted.<br>3. Proof of address of Registered office and correspondence Address such ( Any 1 from listed below)<br>a. Bank Statement<br>b. Agreement for Sales or Leave and license agreement<br>c. Acknowledgement copy of ITR<br>d. Telephone bill or Electricity bill ( Not more then 3 months old at the time of a/c opening)<br>4 . Memorandum and Articles of Association & Certificate of Incorporation of the Corporate Investor<br>5. Names of the authorized signatory (ies), designation, photograph and their signatures duly verified by Managing Director/Company Secretary – as per format given on the form.<br>6. Documents to be given on letterhead of the company.<br>a. Declaration as given on the form.<br>b. Copy of the Board Resolution for investment in securities market and opening of Demat account, as per format given on the form.<br>c. Copy of latest share holding pattern including list of all those holding control, either directly orindirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). –<br>7. Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>8 PAN, proof of Address of whole time directors / two directors in charge of day-to-day operations. (As applicable for individual) |

| | |
|---|---|
| **Partnership firm** | A. Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>B. Certificate of registration (for registered partnership firms only).<br>C. Copy of partnership deed.<br>D. PAN Card Copy Partnership Firm<br>E. Authorised signatories list with specimen signatures.<br>F. Photograph, POI, POA, PAN of Partners.<br>**For Limited Liability Partnership firm (Additional Documents to be collected apart from mentioned above)**<br>A. Account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>.<br>B. Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008.<br>C. Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP.<br>D. The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner], along with their signatures and photographs<br>E. The bank details in the name of the LLP, as sole / first holder in the bank account<br>F. PAN Card of the LLP & Authorised Signatories.<br>G. Proof of Address of the LLP ( Any 1 from listed below)<br>a. Documents registered with the registering authority<br>b. Bank statement<br>c. Agreement for sale or leave and licence agreement<br>Note: - No Demat a/c is opened in the name of Partnership firm as per CDSL regulations. In case client is not registered account will be open in the name of Individual Partners (upto 3 Partners) |
| **Trust** | A. Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>B. Certificate of registration (for registered trust only).<br>C. Copy of Trust deed.<br>D. List of trustees certified by managing trustees/CA.<br>E. Photograph, POI, POA, PAN of Trustees.<br>Note: - Demat a/c are opened only for registered trusts. In case client is not registered trust account will be open in the name of Individual trustees (upto 3 trustees) |
| **Unincorporated association or a body of individuals** | A. Proof of Existence/Constitution document.<br>B. Resolution of the managing body & Power of Attorney granted to transact business on its behalf<br>C. Authorized signatories list with specimen signatures. |
| **Banks/Institutional Investors** | A. Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.<br>B. Authorized signatories list with specimen signatures. |
| **Foreign Institutional Investors (FII)** | A. Copy of SEBI registration certificate.<br>B. Authorized signatories list with specimen signatures. |
| **Army/ Government Bodies** | A. Self-certification on letterhead.<br>B. Authorized signatories list with specimen signatures. |
| **Registered Society** | A. Copy of Registration Certificate under Societies Registration Act.<br>B. List of Managing Committee members.<br>C. Committee resolution for persons authorised to act as authorised signatories with specimen signatures.<br>D. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary. ]<br>E. Names of Authorized Signatories, Designation, and their Specimen Signatures<br>F. PAN Card of Society |

Signature guide

Signature of the First Authorised Person  Second Authorised Person  Signature of the Witness of the Client 

Signature of the Member / DP / authorized signatory 

# INDEX



**Important points on form filling**

Please take care of below points at the time of filling form:

1. Form to be filled legibly in BLOCK LETTERS and in BLACK INK only.
2. Enclose valid documents of all proofs. ID, address and Bank proofs are mandatory for all clients, financial proof is mandatory only for derivatives accounts.
3. All documents / photocopies of documents submitted along with form should be Self-Attested by client(s). In case of HUF a/c, the documents should be signed by Karta of HUF under seal of HUF.
4. All photocopy of documents submitted should be verified by authorized person of ACMIIL at branch / Associates as per ACMIIL internal circular.
5. If any proof is in Non-English language, the same should also be translated into English and duly attested and submitted
6. Permanent Address is Mandatory; Care of (c/o) address is not accepted as permanent address.
7. In case correspondence and permanent address are different, then proof for the both addresses should be submitted.
8. Please mention complete address on the form, it should not be short address. Wherever possible, room no., building name, road name, nearest known landmark should be mentioned.
9. Name, Address, Bank details mentioned on KYC form should match with the documentary proof submitted.
10. In case any fields in the form are left blank (where not applicable ),Please strike off these fields.
11. Please affix (Do not staple) photographs of all holders at appropriate place provided & sign Across the photograph partly on the form & partly on the photograph.
12. In case of NRI account, FEMA Declaration given in the form to be duly signed by all holders & PIS approval letter from authorized dealer /Bank is mandatory.
13. Please mention Brokerage scheme no. at appropriate box on the form.
14. Please mention RC No./RC name where clients are to be mapped, correctly on the form.
15. In case account is to be opened in cash segment, then demat account, either with ACMIIL/other Depository Participant (DP), is mandatory

Asit C. Mehta
INVESTMENT INTERRMEDIATES LTD.
Corporate Member: BSE Ltd & National Stock Exchange of India Ltd.
Regd. Office : "Pantomath Nucleus House", Saki-Vihar Road, Andheri (E), Mumbai - 400 072. Maharashtra, INDIA.
Tel.: (022) 2858 3333/ 2858 4545 / 6132 5757 • Fax (022) 2857 7894 • URL: investmentz.com • E-mail: customerservice@acm.co.in • CIN: U65990MH1993PLC075388

Dear Investors,

We thank you for choosing Asit C. Mehta Investment Interrmediates Limited for providing you services for your investment needs. We value your patronage and assure you that we will strive to assist you in the best possible manner for all your investment related needs.

We enclose herewith Know Your Client "KYC Form" and other Agreements for execution with the respective Stock Exchanges. Kindly note that these documents are prescribed by the Regulatory authorities and are in mutual interest. We also enclose the risk disclosure document for your understanding of risk when you invest in the Capital Markets and an Annexure describing your rights and obligations. We urge you to go through these documents to enhance your investment experience.

We request you to provide us with your email address so that your accounts and contract information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password from us to enable you to view / retrieve your records and investment information from our site www.investmentz.com.

We once again thank you.

With warm regards,

Yours faithfully

**For, Asit C. Mehta Investment Interrmediates Ltd.**

**Authorized Signatory**

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# Know Your Client (KYC) Application Form (For Non-Individuals Only)

CVL

Place for Intermediary Logo

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

## A. Identity Details (please see guidelines overleaf)

1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. **Date of Incorporation** d d / m m / y y y y **Place of Incorporation**

3. **Registration No. (e.g. CIN)** **Date of commencement of business** d d / m m / y y y y

4. **Status** Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs ☐ HUF ☐ FI ☐ FII
☐ FPI Category I ☐ FPI Category II ☐ FPI Category III ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation
☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others (Please specify)

5. **Permanent Account Number (PAN) (MANDATORY)** Please enclose a duly attested copy of your PAN Card

## B. Address Details (please see guidelines overleaf)

1. **Registered Address**

City / Town / Village Postal Code
State Country

2. **Contact Details**

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD) Fax (ISD) (STD)
E-Mail Id.

3. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.** ☐

*Latest Telephone Bill (only Land Line) ☐*Latest Electricity Bill ☐*Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises ☐ Any other proof of address document (as listed overleaf). (Please specify)

*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

4. **Correspondence/Local Address in India (If different from above)**

City / Town / Village Postal Code
State Country

5. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
☐ *Latest Telephone Bill (only Land Line) ☐*Latest Electricity Bill ☐*Latest Bank Account Statement ☐Registered Lease / Sale Agreement of Office Premises
☐ Any other proof of address document (as listed overleaf). (Please specify)
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** d d / m m / y y y y

## C. Other Details (please see guidelines overleaf)

1. **Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors** (Please use the Annexure to fill in the details)

2. **Any other information:**

## DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/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.

DATE: __ __ __ __ __ __ __ __ (DD-MM-YYYY)

PLACE: _____

**NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)**

## FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

# INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

**A. IMPORTANT POINTS:**

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants exceptthose who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number(UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

**C. Proof of Address (POA):** List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. BankAccount Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions,Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.,to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

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

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

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

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

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

| Types of entity | Documentary requirements |
|---|---|
| **Corporate** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year)<br>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD(to be submitted every year)<br>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations<br>• Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly<br>• Copies of the Memorandum and Articles of Association and certificate of incorporation<br>• Copy of the Board Resolution for investment in securities market<br>• Authorised signatories list with specimen signatures |
| **Partnership firm** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year)<br>• Certificate of registration (for registered partnership firms only)<br>• Copy of partnership deed<br>• Authorised signatories list with specimen signatures<br>• Photograph, POI, POA, PAN of Partners |
| **Trust** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year)<br>• Certificate of registration (for registered trust only).Copy of Trust deed<br>• List of trustees certified by managing trustees/CA<br>• Photograph, POI, POA, PAN of Trustees |
| **HUF** | • PAN of HUF<br>• Deed of declaration of HUF/List of coparceners<br>• Bank pass-book/bank statement in the name of HUF<br>• Photograph, POI, POA, PAN of Karta |
| **Unincorporated Association or a body of individuals** | • Proof of Existence/Constitution document<br>• Resolution of the managing body & Power of Attorney granted to transact business on its behalf<br>• Authorized signatories list with specimen signatures |
| **Banks/Institutional Investors** | • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years<br>• Authorized signatories list with specimen signatures |
| **Foreign Institutional Investors (FII)** | • Copy of SEBI registration certificate<br>• Authorized signatories list with specimen signatures |
| **Army/Government Bodies** | • Self-certification on letterhead<br>• Authorized signatories list with specimen signatures |
| **Registered Society** | • Copy of Registration Certificate under Societies Registration Act<br>• List of Managing Committee members<br>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures<br>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary |

**Please Submit the KYC Documents on A4 Size Paper Only.**

## Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

**Name of Applicant** _____ **PAN of the Applicant** _____

| Sr. No. | PAN | Name | DIN (For Directors) / UID (For Others) | Residential / Registered Address | Relationship with Applicant (i.e. promoters, whole time directors etc.) | Whether Politically Exposed | Photograph |
|---|---|---|---|---|---|---|---|
| | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |
| | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |
| | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |
| | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |
| | | | | | | ☐ PEP<br>☐ RPEP<br>☐ NO | |

Name & Signature of the Authorised Signatory(ies) Date d d / m m / y y y y

**PEP:** Politically Exposed Person **RPEP:** Related to Politically Exposed Person

# Annexure 3 - TRADING & DEMAT ACCOUNT RELATED DETAILS

## BANK ACCOUNT(S) DETAILS

Bank Name :

Branch :

Address :

City  Pin Code  State

Bank Phone No. : STD Code  Telephone  A/c Type : SB/CA/OD/Others

Bank Account number :

Internet enables for transactions : Yes ☐ No ☐  Dividend / Interest through ECS : Yes ☐ No ☐  MICR number : (To avail ECS Facility)

Note : In case of additional details, please attach separate sheets  IFSC Code :

## OTHER DEPOSITORY PARTICULARS

Depository : CDSL ☐ NSDL ☐

DP Name :

DP I.D :  DP A/c. Number : (Beneficiary Owner A/c. Number)

Addresss :

City  Pin Code  State

Note : Attach separate sheets if you have more than one DP.

## TRADING PREFERENCES

| Exchange | Segment | Signature of first holder | Exchange | Segment | Signature of first holder |
|---|---|---|---|---|---|
| NSE | Cash | ✍ | BSE | Cash | ✍ |
| NSE | Derivative | ✍ | BSE | Derivative | ✍ |
| NSE | Mutual Fund | ✍ | BSE | Mutual Fund | ✍ |
| NSE | Currency Derivatives | ✍ | IPO | | ✍ |

(Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.)

**For derivative segment, provide ANY ONE from below mentioned documents:**

- ☐ Copy of ITR Acknowledgment (Issued within last one year)
- ☐ Copy of form 16 (Issued within last one year).
- ☐ Networth certificate (Issued within last one year)
- ☐ Copy of annual accounts (Issued within last one year).
- ☐ Salary Slip (Issued within last 3 months)
- ☐ Bank a/c statement for last 6 months.
- ☐ Latest DP holding statement
- ☐ Self declaration along with supporting documents.
- ☐ Any other relevant document substantiating ownership of assets.

## DEALING THROUGH SUB –BROKER / AUTHORIZED PERSONS AND OTHER STOCK BROKERS:

In case you are dealing through any other sub-broker, authorized person and other stock broker, kindly provide a copy of the welcome letter/ latest contract notes issued by the stock broker.

## PAST ACTIONS

Details, of any action/proceedings initiated/pending/taken by SEBI/stock exchanges/any other regulatory authority against the applicant/constituent or its Partners /promoters/whole time directors/authorized person in charge of dealing in securities during the last 3 years:_____

## INVESTMENT/TRADING EXPERIENCE

No Prior Experience : ☐ Years in Stocks : ☐☐ Years in Derivatives : ☐☐ Years in Other investment related fields : ☐☐

## ADDITIONAL DETAILS

| | |
|---|---|
| Whether you wish to receive Physical contract note and /or Electronic Contract Note (ECN). | a. ☐ I wish to receive Electronic Contract note, Funds and Securities Statement etc. my email is:_____<br>b. ☐ I wish to receive (Physical) Contract note. |
| Whether you wish to avail of the facility of internet trading / wireless Technology | a. **YES** ☐ I wish to avail the facility<br>b. **NO** ☐ I don't wish to avail the facility |
| Whether you wish to receive Alert from CDSL / Exchange(s)* | a. **YES** ☐ I wish to receive Alerts through SMS ☐ Email ☐ Both ☐<br>Alerts should be sent on Mobile number / E-mail ID given on KYC form first holder.<br>Mobile number is registered in the name of _____<br>Relationship with client Self ☐ Spouse ☐ Other family Member ☐<br>b. **NO** ☐ |

## OTHER DETAILS

| | |
|---|---|
| Gross Annual Income Details | Income Range per annum:<br>❑ Up to Rs 1,00,000 ❑ Rs 1,00,000 to Rs.5,00,000 ❑ Rs.5,00,000 to Rs. 10,00,000<br>❑ Rs. 10,00,000 to Rs. 25,00,000 ❑ Rs.25,00,000 to Rs. 1,00,00,000<br>❑ More than Rs.1,00,00,000 |
| | Net worth as on (Date) D D M M Y Y Y Y Rs |
| | *[Net worth should not be older than 1 year]* |
| Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ❑. Please provide details as per Annexure 2 2 A | |
| Any other information: | |

## OCCUPATIONAL PROFILE

Nature of business / Profession :

Name of the Company/ Firm :

Address :

City Pin Code

State Country

## DP TARIFF PLAN (Mandatory)

I/We have read, understood and agree to the terms and conditions of the demat tariff plan.
Demat tariff plan to be updated (tick ( ) as applicable)

**DP tariff plan(Mandatory)**
**One year Plan**

| PLAN | BSDA | CORPORATE & NRI | ULTRA |
|---|---|---|---|
| DP-AMC | NIL | ☐ ₹1500/- | ☐ ₹2500 (with 250 transactions) |

## DECLARATION AND ACKNOWLEDGEMENT

1. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
2. I/We further confirm having received, read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any
3. The rules and regulations of the Stock Exchange and AMFI pertaining to an account which are in force now have been read by me/us and I/wehave understood the same and 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 or suppression of any material fact, it will render my/our liable for termination and further action.
4. I/We further confirm having received a copy of KYC form.

# ANTI MONEY LAUNDERING POLICY & PROCEDURES

## 1. Introduction

Parliament of India enacted Prevention of Money Laundering Act, 2002 (PMLA) to prevent money-laundering and to provide for confiscation of property derived from, or involved in, money-laundering and for matters connected therewith or incidental thereto. The provisions of PMLA came into force on 01st July 2005. Section 12 of PMLA, inter-alia, requires all intermediaries associated with securities market and registered under section 12 of the Securities and Exchange Board of India Act, 1992 to maintain a record of all transactions, the nature and value of which has been prescribed under the rules notified under the PMLA. Pursuant to this, Securities and Exchange Board of India (SEBI) issued Guidelines on Anti Money Laundering Standards and various circulars from time to time to implement the provisions of PMLA in the securities market and to prevent and impede money-laundering and combat financing of terrorism. Asit C. Mehta Investment Interrmediates Ltd (hereinafter referred to as 'ACMIIL' or 'the Company'), hereby adopts and bring into effect **Anti Money Laundering Policy & Procedures** (ACMIIL Policy & Procedures) in accordance with the provisions of PMLA and the rules made thereunder, SEBI Guidelines and Circulars issued from time to time on this subject. The policy applies not only to money laundering, but also to terrorist financing. All references to money-laundering in this policy, company policies and procedures and standards include terrorist financing as appropriate.

## 2. Policy

The Company shall endeavor at all times to comply, in letter and spirit, with the provisions of all relevant laws, rules, regulations, guidelines and circulars issued by regulatory authorities in relation to anti-money laundering and the Company's policies & procedures. To these ends the Company shall:

**Self Certfiication for Entities (non individuals who are not listed/ not an Indian Financial Institution)**

To,

**Asit C. Mehta Investment Interrmediates Ltd.**

**Pantomath** Nucleus House, Saki-Vihar road,

Andheri (E), Mumbai- 400 072.

I/we hereby declare that

## Part I

| | |
|---|---|
| A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange | Yes/ No |
| If "No", then proceed to point B | |
| If "yes" please specify name of stock exchange, if you are listed company and proceed to sign the declaration | |
| B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India | Yes/No |
| If "yes", then please fill of FATCA/ CRS Self certification Form If "No", proceed to point C | |
| C. Is the account holder an Indian Financial Institution | Yes/ No |
| If "yes", please provide your GIIN, if any | |
| If "No", proceed to point D | |
| D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen | Yes/No |
| If "yes", (then please fill FATCA/ CRS self -certi cation form). If "No", proceed to sign the declaration | |

**Customer Declaration**

( ) Under penalty of perjury, I/we certify that:

**1.**The applicant is:

(i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,

(ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the lows of country outside India.

(ii) I/We understand that the <Broker/DP> is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The <Broker/DP> is not able to offer any tax advice on FATCA/CRS or its impact on the applcant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the <Broker/DP> may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

| | |
|---|---|
| Signature (as per MOP) | |
| Names and designation of Signatories | |
| Name of Account Holder | |
| Date | |
| PAN Number of Account Holder | |

## Part II

Self Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)

Section 1: Entity information

| | |
|---|---|
| Name of Entity | |
| Customer id (if existing) | |
| Entity Constitution Type (Refer Appendix 2) | |
| Entity Identification type (Refer Appendix 2) | T G C E O |
| Entity Identification No (based on entity identification type) | |
| Entity Identification issuing country | |
| Country of Residence for tax purpose | |

Section 2: Classification of Non Financial entities I/We (on behalf of the entity) certify that the entity is:

| | |
|---|---|
| a) An entity incorporated and taxable in US (Specified US person) | Yes/No |
| If "Yes", please provide your U.S.Taxpayer Identification Number (TIN) | |
| b) An entity incorporated and taxable outside of India (other than US) | Yes/No |
| If "Yes", please provide your TIN or its functional equivalent | |
| Provide your TIN issuing country | |
| Please provide the following additional details if you are not a Specified US Person | |
| FATCA / CRS classification for Non financial entities (NFFE) | |
| Active NFFE | Yes/No |
| Passive NFFE without any controlling Person | Yes/No |
| Passive NFFE with Controlling Person(s) | US/ Others |
| Direct Reporting NFFE (Choose this if any entity | Yes/No |

| | |
|---|---|
| has registered itself for direct reporting for FATCA and thus <Broker/DP> is not required to do the reporting) | |
| Please provide GIIN number | |

| | |
|---|---|
| has registered itself for direct reporting for FATCA and thus <Broker/DP> is not required to do the reporting) | |
| Please provide GIIN number | |

Section 3: Classification of financial institutions (including Banks) I/We (on behalf of the entity) certify that the entity is

| | |
|---|---|
| a. An entity is a U.S. financial institution | Yes/No |
| If "Yes", (i) Please provide your Taxpayer Identification Number (TIN) | |
| Please provide GIIN, if | |
| If "No", please tick one of the following boxes below: | |
| FATCA classification | Please provide the Global Intermediary Identification number (GIIN) or other information where |
| Reporting Foreign Financial Institution in a Model 1 applicable Inter -Governmental Agreement ("IGA") Jurisdiction | |
| Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction | |
| Participating FFI in a Non-IGA Jurisdiction | |
| Non - reporting FI | |
| Non - Participating FI | |
| Owner -Documented FI with specified US owners | |

Section 4: Controlling person declaration

If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details:

| Name of controlling person | Correspondence Address | Country of residence for tax purpose | TIN | TIN issuing Country | Controlling person Type |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |
| | | | | | |

| Details | Controlling person 1 | Controlling person 2 | Controlling person 3 | Controlling person 4 | Controlling person 5 |
|---|---|---|---|---|---|
| Identification Type (Refer Appendix 2) | | | | | |
| Identification Number | | | | | |
| Occupation Type (Refer Appendix 2) | | | | | |
| Occupation | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| Birth Date | | | | | |
| Nationality | | | | | |
| Country of Birth | | | | | |

Section 5: Declaration

(i) Under penalty of perjury, I/we certify that:

1. The number shown on this form is the correct taxpayer identification number of the applicant, and
2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
3. The applicant Is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that the <Broker/DP> is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The <Broker/DP> is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.

(iv) I/ We agree as may be required by /Regulatory authorities, <Broker/DP> shall be required to comply to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

| | |
|---|---|
| Signature (as per MOP) | |
| Names and designation of Signatories | |
| Name of Account Holder | |
| Date | |
| PAN Number of Account Holder | |

(Company Seal, if applicable, to be affixed)

Self-Certification for Entities (non-individuals who are not listed/ not an Indian Financial Institution)

To,
Asit C. Mehta Investment Interrmediates Ltd.
Pantomath Nucleus House, Saki-Vihar road,
Andheri (E), Mumbai- 400 072.

I/we hereby declare that

- The account holder is not a Government body/International Organization/ listed company on recognized stock exchange
- The account holder is not tax resident of any country other than India
- The account holder is not an Indian Financial Institution as defined under Rule 114F(3) of the Income Tax Rules, 1962 as amended
- The substantial owners or controlling persons in the entity or chain of ownership is/are
  - not resident for tax purpose in any country outside India
  - are Indian citizen(s)

Under penalty of perjury, I/we further certify that:

- I/We understand that the <Broker/D>P is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The
- <Broker/DP> is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities the <Broker/DP may also be required to report, reportable details to CBDT or close or suspend my account.
- I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

| | |
|---|---|
| Signature (as per MOP) | |
| Names and designation of Signatories | |
| Name of Account Holder | |
| Date | |
| PAN Number of Account Holder | |

# Additional KYC Form for Opening a Demat Account

**For Non-individuals**

**Asit C. Mehta Investment Interrmediates Ltd.**
**Pantomath Nucleus House, Saki Vihar Road, Andheri (East), Mumbai 4000072.**

(To be filled by the Depository Participant)

| Application No. | | Date | D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|---|---|---|
| DP Internal Reference No. | | | | | | | | | | |
| DP ID | | Client ID | | | | | | | | |

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details :-

**Holders Details**

| | | | | Exchange Name & ID | |
|---|---|---|---|---|---|
| Sole / First Holder's Name | | Search Name | | PAN | |
| | | | | UCC | |
| Second Holder's Name | | | | PAN | |
| | | | | UID | |
| Third Holder's Name | | | | PAN | |
| | | | | UID | |

| **Name *** | |
|---|---|

*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust etc should be mentioned above

**Type of Account** (Please tick whichever is applicable)

| **Status** | | | | | | **Sub – Status** |
|---|---|---|---|---|---|---|
| ❑ Body Corporate | ❑ Banks | ❑ Trust | ❑ Mutual Fund | ❑ OCB | ❑ FII | **To be filled by the DP** |
| ❑ CM | ❑ FI | ❑ Clearing House | ❑ Other (Specify) _____ | | | |

| SEBI Registration No. (If Applicable) | | SEBI Registration date | D | D | M | M | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|---|---|---|
| RBI Registration No. (If Applicable) | | RBI Approval date | D | D | M | M | Y | Y | Y | Y |
| Nationality | ❑ Indian ❑ Others (specify)_____ | | | | | | | | | |

| | |
|---|---|
| I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be `Yes') | [Automatic Credit] ❑ Yes ❑ No |
| I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') | ❑ Yes ❑ No |
| Account Statement Requirement | ❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑Fortnightly ❑Monthly |
| I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____ | ❑ Yes ❑ No |
| I / We would like to share the email ID with the RTA | ❑ Yes ❑ No |
| I / We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical) | |

**Clearing Member Details (To be filled by CMs only)**

| Name of Stock Exchange | | | |
|---|---|---|---|
| Name of CC / CH | | | |
| Clearing Member Id | | Trading member ID | |

| | |
|---|---|
| I / We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ] | ❑ Yes ❑ No |

**Bank Details [Dividend Bank Details]**

| | | | | | | | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Bank Code (9 digit MICR code) | | | | | | | | | | | | | | | | | | | | | | | | |
| IFS Code (11 character) | | | | | | | | | | | | | | | | | | | | | | | | |
| Account number | | | | | | | | | | | | | | | | | | | | | | | | |
| Account type | ❑ Saving ❑ Current ❑ Others (specify) _____ | | | | | | | | | | | | | | | | | | | | | | | |
| Bank Name | | | | | | | | | | | | | | | | | | | | | | | | |
| Branch Name | | | | | | | | | | | | | | | | | | | | | | | | |
| Bank Branch Address | | | | | | | | | | | | | | | | | | | | | | | | |
| City | | State | | | | Country | PIN code | | | | | | | | | | | | | | | | | |

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

**Other Details**

| | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Gross Annual Income Details | Income Range per annum:<br>❑ Up to Rs 1,00,000 ❑ Rs 1,00,000 to Rs.5,00,000 ❑ Rs.5,00,000 to Rs. 10,00,000<br>❑ Rs. 10,00,000 to Rs. 25,00,000 ❑ Rs.25,00,000 to Rs. 1,00,00,000<br>❑ More than Rs.1,00,00,000 | | | | | | | | | | | |
| | Net worth as on (Date) | D | D | M | M | Y | Y | Y | Y | Rs | | |
| | *[Net worth should not be older than 1 year]* | | | | | | | | | | | |
| Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ❑. Please provide details as per Annexure 2 2 A | | | | | | | | | | | | |
| Any other information: | | | | | | | | | | | | |

| | | |
|---|---|---|
| **SMS Alert Facility**<br>Refer to Terms & Conditions given as **Annexure - 2.4** | MOBILE NO. +91 __ __ __ __ __ __ __ __ __ __<br>[(Mandatory , if you are giving Power of Attorney ( POA)]<br>(if POA is not granted & you do not wish to avail of this facility, cancel this | |
| ***Easi*** | To register for ***easi***, please visit our website www.cdslindia.com.<br>***Easi*** allows a BO to view his ISIN balances, transactions and value of the portfolio online | |

I/We have received and read the document of Most Important Terms and Conditions (MITC),'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the 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 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.

| | **Sole / First Authorised Signatory** | **Second Authorised Signatory** | **Third Authorised Signatory** |
|---|---|---|---|
| Name | | | |
| Designation | | | |
| Signature | | | |

**(In case of more authorised signatories, please add annexure)**

(***Signatures should be preferably in black ink***).

========== (Please Tear Here) ==========

**Acknowledgement Receipt**

**Application No.:** **Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

| | |
|---|---|
| Name of the Sole / First Holder | |
| Name of Second Holder | |
| Name of Third Holder | |

**Depository Participant Seal and Signature**

========== (Please Tear Here) ==========

## RUNNING ACCOUNT AUTHORITY LETTER

**Non-Mandatory Document**

Date:_____,

To,

Asit C. Mehta Investment Interrmediates Limited,

"Pantomath Nucleus House", Saki Vihar Road, Andheri (E), Mumbai 400072. INDIA.

Dear Sir,

**Ref: Authorization to maintain running accounts for transactions and retention of securities and funds for my client code _____**

This has reference to the SEBI circular NIRSD/SE.Cir-19/2009 dated Dec 03, 2009, Exchange Circular NSE/INSP/13606 dated Dece 3, 2009, clarification circulars NSE/INSP/14048 dated February 3, 2010 and NSE/INSP/21651 dated Sep 07, 2012 as well as SEBI circular reference number CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019 and SEBI/HO/MIRSD/DOP/P/CIR/2021/577 dated June 16, 2021 regarding monthly/quarterly settlement of running accounts of clients.

I/We request you to settle my/our account on a monthly/quarterly basis (**strike off whichever is not applicable**)

I/We hereby authorize you to maintain running account (s) for my/our transactions execute through Asit C. Mehta Investment Interrmediates Limited on any of the stock exchanges/segments for funds available in my ledger balance with you. I/We also request you to consider the balances in my our running fund account with you for the purpose of margins/all trade related liabilities due to you. I/We further authorize you to retain funds (net amount across segments and across Stock Exchanges) as permitted by the Stock Exchanges while settling my/our account. I/We also authorize Asit C. Mehta Investment Interrmediates Limited to consider the funds so retained by Asit C. Mehta Investment Interrmediates Limited towards margin and for allowing enhanced gross exposure to me/us. I/We agree that Asit C. Mehta Investment Interrmediates Limited 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.

Additionally the funds due to me/us may be released in the interim, on my/our specific request.

I/We understand and agree that no interest will be payable to me/us on the amount of funds as retained with you. The This authorisation may be revoked by me/us at any time by giving prior written intimation to Asit C. Mehta Investment Interrmediates Limited

| | Full Name | Signature |
|---|---|---|
| Sole/First Holder | | |
| Date d d / m m / y y y y | | |

## Option form for issue of dis booklet (Mandatory)

To,

Asit C. Mehta Investment Interrmediates Ltd.
Pantomath Nucleus House, Saki-Vihar Road, Andheri (E), Mumbai - 400072.

Dear Sir / Madam

I / We hereby state that
[Select one of the options given below]

☐ Option 1:
I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager

☐ Option 2:
I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

| 1st Authorised Person's Signature | 2nd Authorised Person's Signature | 3rd Authorised Person's Signature |
|---|---|---|
| Name: | Name: | Name: |

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**Asit C. Mehta**
**INVESTMENT INTERRMEDIATES LTD.**

Regd. Office: "Pantomath Nucleus House ",SakiVihar Road, Andheri(E), Mumbai-400072, Maharashtra, INDIA, Mob.:8065180011
Website:www.investmentz.com/ Email:customerservice@acm.co.in,
CIN:U65990MH1993PLC075388

## DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) – (VOLUNTARY)

| | | | | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Name of the First Holder | | | | | | | | | Trading Account No. | | | | | | | | | |
| Name of the Second Holder | | | | | | | | | | | | | | | | | | |
| Name of the Third Holder | | | | | | | | | | | | | | | | | | |
| DP ID CDSL | | | | | | | | | Client ID | | | | | | | | | |

Dear Sir/Madam,

I/We as undersigned, executing the Demat Debit and Pledge instruction in favour of Asit C. Mehta Investment Interrmediates Ltd., authorising them to operate aforesaid beneficiary account for the below mentioned specific purpose.

| Sr. No. | Purpose | Signatures |
|---|---|---|
| 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 | First holder ( Individual )/ Karta / Partner ( 1 ) / Authorized signatory (1) - Non- Individual<br>Second holder ( Individual ) / Co-parcener (1)/ Partner ( 2 ) / Authorized signatory (2) - Non- Individual<br>Third holder (Individual ) / Co-parcener (2) / Partner ( 3 ) / Authorized signatory (3) - Non- Individual<br>Co-parcener (3) / Authorized signatory (4) - Non- Individual<br>Co-parcener (4) / Authorized signatory (5) - Non- Individual<br>Co-parcener (5) / Authorized signatory (6) - Non- Individual |
| 2 | Pledging/re-pledging of securities in favor 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. | First holder (Individual )/ Karta / Partner ( 1 ) / Authorized signatory (1) - Non- Individual<br>Second holder (Individual ) / Co-parcener (1)/ Partner ( 2 ) / Authorized signatory (2) - Non- Individual<br>Third holder (Individual ) / Co-parcener (2) / Partner ( 3 ) / Authorized signatory (3) - Non- Individual<br>Co-parcener (3) / Authorized signatory (4) - Non- Individual<br>Co-parcener (4) / Authorized signatory (5) - Non- Individual<br>Co-parcener (5) / Authorized signatory (6) - Non- Individual |
| 3 | Mutual Fund transactions being executed on StockExchange order entry platforms | First holder (Individual )/ Karta / Partner ( 1 ) / Authorized signatory (1) - Non- Individual<br>Second holder (Individual ) / Co-parcener (1)/ Partner ( 2 ) / Authorized signatory (2) - Non- Individual<br>Third holder (Individual ) / Co-parcener (2) / Partner ( 3 ) / Authorized signatory (3) - Non- Individual<br>Co-parcener (3) / Authorized signatory (4) - Non- Individual<br>Co-parcener (4) / Authorized signatory (5) - Non- Individual<br>Co-parcener (5) / Authorized signatory (6) - Non- Individual |

Regd. Office: "Pantomath Nucleus House ",SakiVihar Road, Andheri(E), Mumbai-400072, Maharashtra, INDIA, Mob.:8065180011
Website:www.investmentz.com/ Email:customerservice@acm.co.in, CIN:U65990MH1993PLC075388

| | | |
|---|---|---|
| 4 | Tendering shares in open offers through StockExchange platforms | First holder (Individual )/ Karta / Partner ( 1 ) / Authorized signatory (1) - Non- Individual<br>Second holder (Individual ) / Co-parcener (1)/ Partner ( 2 ) / Authorized signatory (2) - Non- Individual<br>Third holder (Individual ) / Co-parcener (2) / Partner ( 3 ) / Authorized signatory (3) - Non- Individual<br>Co-parcener (3) / Authorized signatory (4) - Non- Individual<br>Co-parcener (5) / Authorized signatory (6) - Non- Individual |

Date:_____

Asit C. Mehta Investment Interrmediates Ltd. (ACMIIL's) Designated Demat account nos :-

| Sr No. | Exchange/Depository | Principal / Pool Account No |
|---|---|---|
| 1 | NSE | ACMIIL Pool A/C -1201320000003837 |
| 2 | CDSL | ASIT C MEHTA INVESTMENT INTERRMEDIATES LTD_CMPA_BSE (Margin Pledge) - 1201320001832582 |
| 3 | NSDL | ASIT C MEHTA INVESTMENT INTERRMEDIATES LTD - (Margin Pledge) - IN30134820154875 |
| 4 | BSE | ACMIIL Pool A/C -1201320000000553 |
| 5 | BSE | Pool Account- IN 30134820135296(CM BP ID IN658968) |
| 6 | NSE | Pool Account-IN 30134820135307 (CM BP ID IN568503) |
| 7 | BSE | Early Pay-in Account – 1100001000012832 |
| 8 | NSE | Early Pay-in Account – 1100001100014441 |
| 9 | NSE SLB | Early Pay-in Account - 1100002300000511 |
| 10 | NSE SLB - CDSL | Pool Account – 1201320001810163 |
| 11 | BSE | MTF Margin Pledge A/c - 1201320001918845 |
| 12 | BSE | CUSPA Pledge A/c - 1201320001916421 |

# Email ID & Mobile No. Declaration for Non-Individual Account

Date:

To

**Asit C. Mehta Investment Interrmediates Limited,**
**Pantomath Nucleus House,**
**Saki Vihar Road, Andheri East,**
**Mumbai 400 072**

I/We hereby declare that M/S _____ who is opening Trading Account with ACMIIL having (registered mobile number: _____, registered email id _____) with you in his/her individual capacity is an authorized person designated by us as such for our trading account with client code _____ with you. The aforesaid mobile number belongs to _____(Relation). The aforesaid email id belongs to _____ (Relation).

We request you to please consider this as a request to update the aforesaid mobile number _____ as well as aforesaid email id_____ for updation/continuation of records in our trading account opening with ACMIIL.

**Signed by Director/Trustee/Partner/Karta**

**Name:**

(seal of company/Trust/partnership firm/HUF)

# CONSENT FORM FOR FETCHING KRA RECORDS

**Date: ___ / ___ / _____**

**PAN: _____**

**Trading Account No.: _____**

**Demat Account No.: _____**

**I** _____, hereby authorize **Asit C. Mehta Investment Interrmediates Ltd.** to access, fetch, download, and use my **KYC records** from any **KYC Registration Agency (KRA)** including **CVL KRA, NDML KRA, CAMS KRA, KARVY KRA & KFIN KRA etc.**, as permitted under SEBI and other applicable regulatory guidelines.

I understand that the KYC information may include personal details, PAN, address details, Email id, Mobile number, photograph, signature, and other documents submitted with the KRA.

This consent is given for the purpose of:

- Opening, modification, closure and operation of my **Trading and Demat Account**
- Compliance with **SEBI, Depository, and regulatory requirements**

I confirm that:

- The information fetched from KRA may be relied upon by the intermediary for compliance purposes
- This consent shall remain valid unless revoked by me / us in writing
- My KYC data shall be kept confidential and used strictly as per applicable laws

I declare that the information provided above is true and correct.

**Name:_____**

**Signature of Client: _____**

**DECLARATION TO BE GIVEN BY HUF & COPARCENERS**

To,
Asit C. Mehta Investment Interrmediates Ltd.
Mumbai

Dear Sir,

We, all the coparceners (members) detailed below of the Hindu Undivided Family (HUF) having PAN No. _____do here by authorize Karta of the family Mr._____ , to open /operate in the name of this HUF a dealing / trading account severally responsible for the dealings/ orders / trades / transactions that are executed by the karta Mr._____ and all his orders /deals shall be binding on the HUF and all its members jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing and understand that we are required to collect from you an acknowledgement of having taken the same on record.

The Specimen signature of the Karta Mr. _____ is given below:

Specimen Signature is full_____

| Sr No. | Name of Coparcener / Member | Gender | Date of Birth | Relationship with Karta | Whether Coparcener / Member (please specify) | Signature of the Coparcener / Member |
|---|---|---|---|---|---|---|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

I_____ Karta of the HUF declare that the details of co-parceners mentioned above are true to the best of my knowledge as on the date of making such application.

_____
**Signature of Karta**

## DECLARATION FOR ULTIMATE BENEFICIAL OWERSHIP

DATE **:**

Entity Name :

Entity UCC : **BO ID :**

I/We hereby declare that following **natural person(s)** (listed in table below ) are Ultimate Beneficial Owners (UBOs)** in the aforementioned entity.

| Sr No | Name of Beneficial Owner(s) | Date of Birth | Designation of Beneficial Owner (i.e. Beneficiary / Trustee/ Settlers/ Director/Partners etc.) | Percentage holding/profits as per BO definition |
|---|---|---|---|---|
| **1** | | | | |
| **2** | | | | |
| **3** | | | | |

Does the above listed natural beneficial owners held through multiple layers of shareholding of intermediate shareholder / owner entities. **NO**

Yes, (Attach the comprehensive Beneficial Ownership structure / tree)

**OR**

We hereby declare that there **are no natural person (s) beneficial owners** in terms of thedefinition of Beneficial Owner** int eh entity, therefore details of senior managing officials / key managerial persons are mentioned in below table .

| Sr No | Name of Senior Managing Official | Date of Birth | Nationality | Designation of Senior Managing Official (i.e. MD, CEO etc) |
|---|---|---|---|---|
| | -------- NA---- | | | |

The Customer onboarding Form (For Authorised Signatories/Beneficial Owners/Controlling Persons) for each beneficial owner is accordingly filled and submitted.

OR

I/We hereby declare that Company is Listed on _____ (Name of Stock Exchange) OR is a majorly owned subsidiariy of _____ (name of listed Company) listed on _____ (Name of Stock Exchange).

The Entity undertakes that the facts stated hereinabove are true and correct.

The Entity undertakes and agrees that it will notify Yes Bank without delay of any changes to the natural beneficial owners as declaredin the table, in terms of the below mentioned definition of BO .

**Name of Director / Partner / Trustee/ Member/ Authorised Signatory**

_____

(Signature & Seal of the any of the Directors/Partners/Trustee/Member/Authorised Signatory)

*** As per RBI KYC Master Driection, Beneficial Owner (BO) is defined as :*

a. Where the customer is a company, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical persons, has/have a controlling ownership interest or who exercise control through other means.

Explanation- For the purpose of this sub-clause-
“Controlling ownership interest” means ownership of/entitlement to more than 25 per cent of the shares or capital or profits of the company.

“Control” shall include the right to appoint majority of the directors or to control the management or policy decisions including by virtue of their shareholding or management rights or shareholders agreements or voting agreements.

b. Where the customer is a partnership firm, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 15 per cent of capital or profits of the partnership.

c. Where the customer is an unincorporated association or body of individuals, the beneficial owner is the natural person(s), who, whether acting alone or together, or through one or more juridical person, has/have ownership of/entitlement to more than 15 per cent of the property or capital or profits of the unincorporated association or bodyof individuals.

Explanation: Term ‘body of individuals’ includes societies.
Where no natural person is identified under (a), (b) or (c) above, the beneficial owner is the relevant natural person who holds the position of senior managing official.

d. Where the customer is a trust, the identification of beneficial owner(s) shall include identification of the author ofthe trust, the trustee, the beneficiaries with 15% or more interest in the trust and any other natural person exercisingultimate effective control over the trust through a chain of control or ownership.

**********

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**(ON LETTERHEAD OF PARTNERSHIP FIRM- TO BE SIGNED BY ALL PARTNERS)**

**CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF PARTNERS OF _____ HAVING ITS REGISTERED OFFICE AT _____ HELD ON_____ AT_____**

_____

**"RESOLVED THAT _____ (**hereinafter referred to as "the firm") does agree with Asit C.Mehta Investment Interrmediates Limited (ACMIIL), SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

**RESOLVED FURTHER** since the demat account cannot be opened in the name of the partnership firm, the demat account be opened in the name of the following partners, who are hereby authorised to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

***Details of partners (for opening and operating of account)***

| Sr.No. | Partner name | Partner designation (if applicable) | Specimen signature of partner | Photograph of partner |
|---|---|---|---|---|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |

**RESOLVED FURTHER THAT** Asit C. Mehta Investment Interrmediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the firm by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation *(select mode of operation applicable and strike out the rest)*

**RESOLVED FURTHER THAT** the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Interrmediates Limited on behalf of the firm.

**RESOLVED FURTHER THAT** a copy of these minutes of meeting duly certified to be a true copy by the partners of the firm be furnished to Asit C. Mehta Investment Interrmediates Limited and that Asit C. Mehta Investment Interrmediates Limited be and is hereby requested to act upon the same

**\\CERTIFIED TO BE TRUE**

**For (name of the firm)**

**Signatures:_____** **_____** **_____**

**Name :_____**

**Designation:_____**

**(ON LETTERHEAD OF TRUST- TO BE SIGNED BY TRUSTEES)**

**CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF TRSUTEES OF _____ HAVING ITS REGISTERED OFFICE AT _____ HELD ON_____ AT_____**

_____

**"RESOLVED THAT _____ (**hereinafter referred to as "the TRUST") does agree with Asit C.Mehta Investment Interrmediates Limited (ACMIIL), SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

**RESOLVED FURTHER** since the demat account cannot be opened in the name of the trust, the demat account be opened in the name of the following trustee/s who are hereby authorised to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

***Details of trustees (for opening and operating of account)***

| Sr.No. | Trustee name | Trustee designation (if applicable) | Specimen signature of trustee | Photograph of trustee |
|---|---|---|---|---|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |

**RESOLVED FURTHER THAT** Asit C. Mehta Investment Interrmediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the trust by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation *(select mode of operation applicable and strike out the rest)*

**RESOLVED FURTHER THAT** the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Interrmediates Limited on behalf of the trust.

**RESOLVED FURTHER THAT** a copy of these minutes of meeting duly certified to be a true copy by the Managing Trustee of the trust be furnished to Asit C. Mehta Investment Interrmediates Limited and that Asit C. Mehta Investment Interrmediates Limited be and is hereby requested to act upon the same

**\\CERTIFIED TO BE TRUE**

**For (name of the trust)**

**Signature:_____**

**Name :_____**

**Designation:_____**

**(ON LETTERHEAD OF CORPORATE ENTITY)**

**CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF _____ HAVING ITS REGISTERED OFFICE AT _____ HELD ON_____ AT_____**

**_____**

**"RESOLVED THAT _____ (**hereinafter referred to as "the company") does agree with Asit C.Mehta Investment Interrmediates Limited (ACMIIL), SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

The following persons are hereby authorised to jointly/severally *(select as mode as applicable and strike out the other)* to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

***Details of Authorised signatories (for opening and operating of account)***

| Sr.No. | Authorised Signatory name | Authorised Signatory designation | Specimen signature of authorised signatory | Photograph of authorised signatory |
|---|---|---|---|---|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |

**RESOLVED FURTHER THAT** Asit C. Mehta Investment Interrmediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the Company by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation *(select mode of operation applicable and strike out the rest)*

**RESOLVED FURTHER THAT** the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Interrmediates Limited on behalf of the Company.

**RESOLVED FURTHER THAT** a copy of this resolution duly certified to be a true copy by _____ , Company Secretary and/or _____Director, of the Company be furnished to Asit C. Mehta Investment Interrmediates Limited and that Asit C. Mehta Investment Interrmediates Limited be and is hereby requested to act upon the same

**\\CERTIFIED TO BE TRUE**

**For (name of the company)**

**Signature:_____**

**Name :_____**

**Designation:_____**

**(ON LETTERHEAD OF LLP- TO BE SIGNED BY DESIGNATED PARTNERS)**

**CERTIFIED TRUE COPY OF THE MINUTES OF MEETING OF DESIGNATED PARTNERS OF _____ HAVING ITS REGISTERED OFFICE AT _____**

**HELD ON_____ AT_____**

**_____**

**"RESOLVED THAT _____ (**hereinafter referred to as "the firm") does agree with Asit C.Mehta Investment Interrmediates Limited (ACMIIL), SEBI registered member of the National Stock Exchange of India Limited (NSE), and BSE Limited (BSE) and SEBI registered Depository Participant with Central Depository Services (India) Limited for the purpose of dealing in Capital Market/Cash Segment, Derivatives/Futures & Options segment or any other segment that may be introduced by NSE and BSE in future and for the purpose of availing of depository operations facility of CDSL, to open trading and demat account in ACMIIL.

**RESOLVED FURTHER** the following designated partners, are hereby authorised to sign, execute, and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and operate the aforesaid accounts and to give effect to this resolution

***Details of partners (for opening and operating of account)***

| **Sr.No.** | **Partner name** | **Partner designation (if applicable)** | **Specimen signature of partner** | **Photograph of partner** |
|---|---|---|---|---|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |

**RESOLVED FURTHER THAT** Asit C. Mehta Investment Interrmediates be and is hereby authorised to honour instructions whether oral and/or written and/or electronic given on behalf of the firm by the above authorised signatories as per the mode of operation mentioned below:

Mode of operation: Anyone/All jointly/Specify mode of operation *(select mode of operation applicable and strike out the rest)*

**RESOLVED FURTHER THAT** the aforesaid persons are authorised to sell, purchase, transfer, endorse, and negotiate documents and/or otherwise deal through Asit C. Mehta Investment Interrmediates Limited on behalf of the firm.

**RESOLVED FURTHER THAT** a copy of these minutes of meeting duly certified to be a true copy by the designated partners of the firm be furnished to Asit C. Mehta Investment Interrmediates Limited and that Asit C. Mehta Investment Interrmediates Limited be and is hereby requested to act upon the same

**\\CERTIFIED TO BE TRUE**

**For (name of the firm)**

**Signatures:_____** **_____** **_____**

**Name :_____**

**Designation:_____**

## FOR OFFICE USE ONLY

UCC Code allotted to the Client: ----------

| | Document verified with Originals | Client Interviewed by | In-Person Verification done by |
|---|---|---|---|
| Name of the Employee/ Official | | | |
| Employee Code/ RC 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 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 my/our website, if any, for the information of the clients.

_____

Signature of the Authorised Signatory

Date:_____

_____

Seal/Stamp of the stock broker

## CLIENT ACCOUNT BRIEF

Cheque Details:_____

Cheque No.: _____ Cheque Date: _____

Cheque Amount: _____ Bank Name: _____

Stamps

Stamp of
Special Scheme No.

RC No.
where client to be mapped

## Brokerage Slab

| Segment | Scheme No. |
|---|---|
| Cash - Delivery | |
| Cash - Intra Day | |
| Currency | |
| Mutual Fund | |

| Segment | Scheme No. |
|---|---|
| Future | |
| Options - Stock | |
| Option Index | |
| | |

Please mention Brokerage schemes details which are to be applied as per ACMIIL internal Circular.

Asit C. Mehta
INVESTMENT INTERRMEDIATES LTD.

# Other - Mandatory Client Documents

invest+ Account

INVESTMENTZ.COM
By Asit C. Mehta
A Pantomath Group Company

Rights & Obligation document + Risk Disclosure Documents + Guidance Note

Asit C. Mehta
INVESTMENT INTERRMEDIATES LTD.
Corporate Member: BSE Ltd. & National Stock Exchange of India Ltd.
Regd. Office : "Pantomath Nucleus House", Saki Vihar Road, Andheri (E), Mumbai - 400 072. Maharashtra, INDIA.
Mob.: 8065180011 • URL: investmentz.com • E-mail: Customerservice@acm.co.in • CIN: U65990MH1993PLC075388

## Most Important Terms and Conditions (MITC)

**Date:**

(For non-custodial settled trading accounts)

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

**UCC:** _____ **BO ID:** _____

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

# Depository Charges for the Calendar year 2026 (One year plan)
# For Active Clients: (All prices are excluding taxes as may be applicable)

**Table 1**

| Plan | BSDA | INVEST NEW | INVEST | CORPORATE & NRI | ULTRA |
|---|---|---|---|---|---|
| DP-AMC | NIL | ₹ 250/- | ₹ 495/- | ₹ 1500/- | ₹ 2500/-<br>**250 Free Transactions** |

- **IBasket:**
  - Where client is also availing for I Basket, DP AMC will be free for 1 Year from the activation of Basket. From the 2nd year onwards, AMC will be applicable as per client category and DP Tariff Plan (excluding Ultra Plan).

- **Ultra: ₹ 2500/-**
  - **250 Free Transactions** (Free Transactions are valid only for **On-Market and Early Pay-In transactions**).
  - Once 250 free transactions are exhausted, the client may renew the plan by immediately paying ₹ 2500/- to receive Further set of 250 free transactions.
  - **Non- Renewal:** If plan is exhausted and not renewed, normal tariff charges will apply from the same day on which the 250 transactions or further set of 250 transactions (if paid for) is exhausted.

- **Invest New: ₹ 250/- (New Trading and Demat Account)**
  - This plan is applicable for Individual Category only.
  - This plan is applicable if client is opening a new Trading cum demat account.
  - For BSDA applicable as per BSDA Guidelines.
  - For Non-BSDA Account ₹250/-+ GST per Calendar Year, charged on Pro-rata basis for current Calendar Year.
  - DP Tariff Charges will applicable as per Table 3.

- For **Additional DP Accounts,** AMC will be recovered as per the client category and tariff will charges as per **Table 3**.
- The other charges are provided below for your reference.
- In case client holds only Mutual Fund units then he/she will not be charged any AMC charges. (*Applicable for clients investing in Mutual Fund units through ACMIIL)
- Notes: Please see Table 3 below and Entries against Transaction Charges (Sell Side) Refer to those Transactions resulting in delivery.

**Table 2 BSDA Charges as per SEBI Circular**

| Value of Holdings in the Demat Account (Debt as well as other than debt securities combined) | Maximum Annual Maintenance Charges |
|---|---|
| Up to ₹ 4 lakhs | NIL |
| More than ₹ 4 lakhs but up to ₹ 10 lakhs | ₹ 100 |
| More than ₹ 10lakhs | Not a BSDA. Regular AMC may be levied |

- BSDA Plan will be charged as per Tariff Plan (Table 3) Transaction and **AMC NIL.**

**Eligibility for BSDA: (as per the CDSL Circular No. CDSL/OPS/DP/POLCY/2024/358 dated 29th June 2024)**

a) The individual has or proposes to have only one demat account where he/she is the sole or first holder.
b) The individual shall have only one BSDA in his/her name across all depositories.
c) The total value of securities held in the demat account, including both debt and non-debt securities, shall not exceed ₹ 10 lakhs at any point of time.

**Table 3: DP Tariff Charges**

| Heading | DP Charges |
|---|---|
| DIS-Issuance (On Request ) | ₹ 50/- per slip + postal charges |
| On Mkt (Per Scrip) | Minimum ₹ 20/- and Maximum 0.03% on traded value subject to a Cap of ₹ 100/- |
| Early Pay-In (Per Scrip, Per Order) | Minimum ₹ 20/- and Maximum 0.03% on traded value subject to a Cap of ₹ 100/- |
| Int. DP (Per Scrip) | Minimum ₹ 50/- and Maximum 0.03% on market value whichever is higher |
| Off Market (Per Script) | Minimum ₹ 50/- and Maximum 0.03% on market value whichever is higher |
| DRF (Accepted / Rejected) (On Request) | ₹ 100/- per Certificate + Postal Charges |
| Remat (Accepted / Rejected) | NIL |
| Pledge (Per ISIN) | ₹ 35/- |
| Un-Pledge (Per ISIN) | ₹ 30/- |
| CUSPA (Per ISIN) | ₹ 10/- |
| Account Modification | ₹ 75/- |
| UNFREEZE (Demat Account) | ₹ 250/- |
| Cheque Dishonored (Per request) | ₹ 500/- |
| KYC Fetched (On Account) | ₹ 100/- |
| Any Physical Requests (CML, Holding, Transaction Statement Per Page etc.) | ₹ 10 + postal Charges |

**Important Points:**

1. Customers who are Inactive and have NIL holding except BSDA will be charged ₹ 250/- (plus GST applicable) as depository charges.
2. Please ensure to have your correct email address and mobile number updated in our system at all time to enable sharing vital communication.

4. All plans are non-refundable.

5. Taxes at actuals will be charges extra. Currently GST@18% will be charged.

6. In event of non-payment of DP Tariff Charges / other DP charges, ACMIIL will freeze / suspend the demat account and settlement / debit instructions will not be processed for demat account. The unfreezing of the account will invite a restoration fee of ₹ 250/- plus applicable taxes.

7. ACMIIL reserves the right to revise the DP tariff slabs and other charges by displaying the same on web site www.investmentz.com. In such an event, it will be done from prospective effect only.

8. As per CDSL communiqué reference number CDSL/OPS/DP/POLCY/2020/8 dated January 3, 2020, in case of off-market transfers, applicable stamp duty will be levied on the transferor before executing the same in the depository system.

9. We request clients to clear old dues also which are displayed on Tariff Plan Selection Link. We will be at liberty to share the information about the dues and non-paying clients with appropriate data reporting and sharing platforms as well as be free to issue public notices on media like newspapers and websites.

10. All the charges are payable upfront. The yearly interest @ 18% for CDSL Demat Account will be charged on

11. Postal Charges ₹ 50/-are applicable on per request wherever applicable.

12. GST is levied on the services as per Government norms.

13. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

**Sameer Nalawade**
**Whole-Time Director**

# POLICY ON "VOLUNTARY FREEZING/BLOCKING OF THE ONLINE TRADING ACCOUNT"

| Sr. No. | Particulars | Person preparing/reviewing | Person Reviewing |
|---|---|---|---|
| 1. | Policy prepared | Compliance Team | Meghana Sansare |
| 2 | Policy Checked by Processing Team | Risk Team & Head of Operations | Deepak Khambhayta |
| 3 | Policy Approved | Managing Director | Sameer Nalawade |

**Policy Approved by**
**Whole Time Director**

**Mr. Sameer V Nalawade**

**Date:11/11/2025**

**Place: Mumbai**

**The facility of voluntary freezing/blocking the online access of the trading account to their clients**

1. Introduction
   This policy outlines the procedures for voluntary freezing/blocking of trading accounts for clients in accordance with SEBI & Exchange Circulars.

2. Notice/Circular Reference
   - SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024
   - Exchange Circular no. NSE/INSP/60277 dated January 16, 2024 on the subject "Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients".

3. Scope and Applicability
   - This policy is applicable to all clients who wish to voluntarily freeze/block their online trading accounts on the account of suspicious activities.
   - This is applicable & finalised by the SEBI & Brokers' Industry Standards Forum in consultation with the Exchanges.

4. Risk Management Consideration
   - The request by client for voluntary freezing/blocking of trading account shall be made through IVRS or web based application. Additional modes of request like email or chat-bot may be considered in subsequent phases or on a case to case basis. Email by client to be sent to stoptrade@acm.co.in.
   - The request received will be sent to the risk team for freezing/blocking of the online access of the trading account for the client. (E-mail for the same is mandatory).
   - The system will ask the client to check whether there are open positions and the client has to agree to close the same before his request for freezing/blocking is given effect to.
   - Client has to cancel all pending orders at their end.
   - Risk team will simultaneously check for any pending orders.
   - Risk team will perform activity for freezing/blocking as per following timelines

| Scenario | Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account. |
|---|---|
| Request received during the trading hours[1] and within 15 minutes before the start of trading. | Within 15 minutes[2] |
| Request received after the trading hours and 15 minutes before the start of trading. | Before the start of next trading session |

[1] Trading hours shall be as follows:
Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m., Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m., Commodity Derivatives Segment: 09.00 a.m. to 11:30 p.m.

[2] To begin with, the time limit of 15 minutes is being specified for the purpose of issuing acknowledgement as well as freezing/blocking of the online access of the trading account. This time limit shall be contracted after a review in next six months after the date of its applicability to enhance protection of investors from suspicious activities.

- Freezing/Blocking will be performed on BOW, Intellect & InvestmentZ within the stipulated time frame.
- Risk team will temporary "SUSPEND" client on all trading set-up's.
- Risk team reserves right to Square off /Close any open position even during the voluntary freeze/block period & the same is subject to case to case basis.
- Re-enabling/Unblocking/Unfreezing of Client codes at client request will be done only after doing due diligence as to liveliness check of client.

5. Clarification by SEBI quoted as below:

It is clarified that:

a) Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.
b) The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.

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# Policy for Handling Good Till Date Orders

1. **Background :**

   Exchanges vide it's 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.

2. **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.

3. **Details of Good Till Cancelled/Good Till Triggered/orders –**

   a. Asit C. Mehta Investment Interrmediates Ltd. ("ACMIIL") enables it's clients to place "Good Till Date" (GTDt) orders.
   b. GTDt is a order facility through which a client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period selected by the client shall be within the maximum validity date defined by ACMIIL. Since client has the right to define validity date ("order validity date"), this order type is called as Good Till Date (GTDt) order.
   c. All existing and new clients of ACMIIL who are eligible to trade in Equity Cash product & Derivatives can avail GTDt facility for order placement.
   d. The facility of placing a GTDt order is available in Equity Cash product, Index futures, Index Options and E-Margin (MTF) product only. It is not available for other products like Margin, Spot, etc. As and when, GTDt orders are introduced in new segments the same shall be displayed through the ACMIIL website and subsequently updated in the policy.
   e. Client can specify disclosed quantity while placing cash orders with GTDt order validity.
   f. GTDt orders can only be placed by specifying a limit price. GTDt orders cannot be placed at market price.
   g. If a GTDt order is not executed for the entire quantity, ACMIIL 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. This feature permits the client to specify the number of days during which the client intends to place the orders.

h. GTDt orders can be placed during the pre-open session for all scrips, however only orders in scrips that are pre-open enabled would be sent to exchange during the pre- open session. Orders in all other scrips not enabled for pre-open session would be treated as overnight orders and sent to exchange during normal trading session.
i. Client shall ensure that necessary funds/margins are available to place GTDt orders in their account for the unexecuted quantity of the order.
j. "Order Validity Date" means the date entered by the client while placing GTDt orders. This date shall be equal to or less than the maximum validity date defined by ACMIIL which would appear as the default "Order Validity Date". Client can choose the GTDt order validity date as less than or equal to the maximum validity date defined by ACMIIL. Client shall not be allowed to place orders with GTDt validity beyond maximum defined validity date.
k. In case the GTDt order validity date falls on a non trading day, the order is expired by ACMIIL on the last trading day which falls prior to such order valid date which is a non trading day. Post the expiry, the status of GTDt order is updated as Expired (Closed).
l. Once a client has placed aGTDt order, ACMIIL will place orders for the unexecuted quantity of the GTDt order for all the days during the validity period or till the quantity is fully executed or cancelled or rejected due to any reason. Client may login only to check the status of such orders.
m. For the unexecuted quantity orders shall be placed daily as overnight orders during the validity period, i.e. until the order validity date is less than or equal to the next trade date provided such GTDt order remains unexecuted and is not cancelled, nor rejected due to any reason. The orders would be placed on these dates provided they are trading days.
n. All securities in BSE & NSE except securities in debt segment, NCD, Bonds and illiquid securities are eligible for the placing GTDt order.
o. Orders with GTDt validity can be placed both during the market hours as well as post market hours.
p. GTDt orders can be placed over Call2Invest
q. Client can place maximum 5 GTDt orders for a particular scrip and in all a client can place maximum 30 GTDt orders across all eligible scrips.
r. Clients can modify the quantity or limit price of a GTDt orders Clients can modify the order only when the order is in 'Ordered status' (during market hours) or 'Requested status' (after market hours). "GTDt Blocked" orders cannot be modified but can only be cancelled.
s. All GTDt orders can be cancelled.
t. The Brokerage rates and applicable charges are same for normal transactions and GTDt orders. Further, GTDt orders shall be settled in the same manner as normal equity / derivative market transactions.

u. Clients can also place GTDt Buy and Sell (sell- Open position only) order under E-Margin Product.
v. Stoploss orders can also be placed with GTDt validity.

**4. Handling of GTDt orders in case of corporate actions :**

Post Corporate Action, GTDt 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.

The orders which would get failed in circuit check and daily price range for next day pumping would be kept in system in "GTDt Blocked" status for retry on subsequent trading day.

Emails and SMS will be sent to the customers when the GTDt orders fall short of Funds / Securities or Blocked due to price beyond DPR range.

**5. Updating Clients of upcoming Corporate Actions :**

All upcoming corporate actions including dividend, bonus, split, etc. shall be intimated to clients having unexecuted GTDt orders atleast one day prior to the ex-date of the corporate action.

Clients shall review their GTDt 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.

**6. 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" of Policy and Procedures document and shall also be displayed on the ACMIIL website.

**7. Policy Review :**

The said policy shall be reviewed on an annual basis.

Document No: 10

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

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

## CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

## MARGINS

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

## TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client an paid to 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-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

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

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

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

## LAW AND JURISDICTION

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

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

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

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

47. All additional voluntary clauses/document added by the stock broker should not be in 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.

## 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.

Document No: 11

## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

### 1. BASIC RISKS:

#### 1.1 Risk of Higher Volatility:

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

#### 1.2 Risk of Lower Liquidity:

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

only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

**1.3 Risk of Wider Spreads**

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

**1.4 Risk-reducing orders:**

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

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

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

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

**1.5 Risk of News Announcements:**

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

**1.6 Risk of Rumors:**

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

**1.7 System Risk:**

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

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

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

**1.8 System/Network Congestion:**

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.

Document No: 12

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

### BEFORE YOU BEGIN TO TRADE

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

### TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:

a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

## IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges 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.

Document No: 13

**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.

13. The stock broker / stock broker and depository participant 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.

**Statement of account**

14. 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.

15. 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.

16. 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.

17. 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**

18. 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.

19. 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**

20. 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.

21. 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**

22. 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**

23. 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.

24. 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.

25. The joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority".

**Redressal of Investor grievance**

26. The DP shall redress all grievances of the Beneficial Owner against the DP within 66 a period of thirty days from the date of receipt of the complaint.

**Authorized representative**

27. Owner is a body If the Beneficial 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**

28. 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.

29. 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.

30. 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.

31. 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

32. 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.

33. 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.

# 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 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).

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)

Signatures _____ Sole / First Holder _____ Second holder _____ Third Holder

Place: _____ Date: _____

## Management:

Designated Directors : **Mr. Sameer Nalawade & Mr. Arjun Prajapti**

## SEBI / Regulatory Registration nos

- BSE / NSE/ Single Regn No. : INZ000186336
- DP Reg: IN-DP-685-2022
- DP ID -CDSL12013200
- Research Analyst: INH000016940
- PMS: INP000005801
- PFRDA : PDP21092018
- MF Distributor - ARN3086

## Membership:

NSE: Cash, Derivatives, Debt & Currency Derivatives

BSE: Cash & Derivatives Currency

SEBI: Research Analyst/PMS

CDSL: Depository Participant

## Principal Banker:

State Bank of India

## Call and Trade No.:

022-2858 4444 / 022-6787 8987

## Customer Service No.:

Mob.: 8065180011

# Asit C. Mehta

**INVESTMENT INTERRMEDIATES LTD.**

Pontomoth Nucleus House, Saki Vihar Road, Andheri (E), Mumbai 400072, INDIA
Tel.: 022- 28584545
Website: www.investmentz.com

Email: customerservice@acm.co.in; **investorgrievance@acm.co.in**
CIN: U65990MH1993PLC075388