

DOCUMENT REQUIRED FOR INDIVIDUAL

Sign where mark with



1. PANCARD COPY (MANDATORY)
2. ADDRESS PROOF (ANY ONE): AADHAR CARD (MANDATORY)
3. 3 YEARS BALANCE SHEET WITH IT RETURN COPY
4. CANCEL CHEQUE WITH PRINTED NAME ON CHEQUE. OR BANK PASSBOOK COPY WITH LAST SIX (6) MONTHS TRANSACTION (MANDATORY)
5. 2 PASSPORT SIZE PHOTO SIGN ACROSS PHOTO, SIGN DO NOT APPEAR ON FACE
6. EMAIL ID (MANDATORY)
7. DEMAT ACCOUNT CLIENT MASTER LIST (WITH D/P STAMP AND SELF ATTESTED)
8. MOBILE NUMBER (MANDATORY) AND RESIDENCE TELEPHONE NUMBER
9. ADDENDUM TO PART AND PARCEL OF KYC FORM
10. ALL DOCUMENTS MUST BE SELF ATTESTED
11. MOTHER'S NAME
12. NOMINATION - PAN CARD AND & AADHAR CARD (SELF ATTESTED)

DOCUMENT REQUIRED FOR NON INDIVIDUAL

Sign where mark with



1. 3 years Balance Sheet With IT Returns copy
2. Latest Share holding pattern including list of all those holding control either directly or indirectly in the company in terms of SEBI take over Regulations, duly certified by the company secretary/Whole time direct/ MD (To be submitted every year). (Format Attached)
3. Photograph, POI,POA,PAN and DIN number of whole time directors/two directors in charge of day to day operations.
4. Photograph POI,POA, PAN of Individual Promoters, holding control - either directly or indirectly.
5. Copy of Memorandum and Articles of Association and Certificate of Incorporation
6. Copy of Board Resolution for investment in securities market. (Format Attached)
7. Authorized Signatory list with specimen signatures. (Format Attached)
8. Cancel cheque with printed name on cheque or Bank Statement/Passbook of Last Six month Transaction
9. All Director KYC (PAN/Aadhar) - Mandatory
10. ADDRESS PROOF (ANY ONE)
 - (A) LATEST ELETRICITY BILL
 - (B) PASSPORT COPY
 - (C) BANK PASSBOOK COPY WITH LAST SIX (6) MONTHS TRANSACTION
 - (D) LATEST LANDLINE TELEPHONE BILL
11. 2 PASSPORT SIZE PHOTO OF DIRECTORS.
12. EMAIL ID
13. DEMAT ACCOUNT CLIENT MASTER LIST (WITH D/P STAMP)
14. MOBILE NO AND OFFICE/RESIDENCE TEL NO
15. ALL DOCUMENTS MUST BE SELF ATTESTED

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Total number of signature required is 20

Name of stock broker/ trading member/clearing member	KAI SECURITIES PRIVATE LIMITED		
SEBI Registration No. and date	INZ000232632 & Dated: 08-03-2019 For NSE & BSE (Cash & F&O) NSE Member Code No.: 11271 • BSE Member Code No.: 147		
Clearing member of (Equity & F&O): Orbis Financial Corporation Limited 4A, Technopolis, Golf Club Road, Sector 54, Gurgaon, Haryana - 122002 SEBI Regn. No.: INZ000165534			
Depository Participant Name: Stock Holding Corporation of India Ltd. NSE NSDL POOL A/C. NO.: CMBPID: IN547852 DPID: IN301330 CLIENT ID: 22407494 MARGIN PLEDGE A/C: DPID: IN301330 CLIENT ID: 40353967 CDSL ID:16010100-00468093			
Registered office address:	620, P. J. Towers, Dalal Street, Fort, Mumbai - 400 001 Tel No.: 022-2272 3651 • E-mail: info@kaisecurities.com Website: www.kaisecurities.com CIN: U67120MH2000PTC124578		
Corporate office address:	Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road, Matunga, Mumbai 400019. Tel. No.: 022 - 4452 7111/4452 7112		
Compliance officer name, phone no. & email id:	Paresh Vinchhi	9867219699	info@kaisecurities.com
CEO name, phone no. & email id:	Mihir Chandrakant Ghelani 022-44527111 mihir.ghelani@kaisecurities.com		
For any grievance/dispute please contact KAI SECURITIES PRIVATE LIMITED at the above address or email id: trading.complaint@kaisecurities.com and Phone no. 91-022-44527111. In case not satisfied with the response, please contact the concerned exchange(s) at:			
BSE Limited (BSE) Stock Exchange Tower, Dalal Street, Fort, Mumbai 400001. Tel. No.: 022-22721233/34 Fax No.: 022-22723677 Investor Services email id.: is@bseindia.com Investor Services Tel. No.: 022 22728097 E-mail id: stanies.crasto@bseindia.com		National Stock Exchange of India Limited Investor Grievance Cell/Arbitration Exchange Plaza, 5th Floor, Plot No. C/1, G Block, Bandra Kurla Complex, Bandra (E), Mumbai 400051. Toll Free No.: 18002660058 Fax: (022) 2659 8191 E-mail Id:- ignse@nse.co.in	
SEBI for filing complaints on SCORES Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.sebi.gov.in			

CKYC/KRA Registration details (For office purpose only) KRA/CKYC Registry	
If client is already registered with KRA please fill in below details:	
<input type="checkbox"/> NDML <input type="checkbox"/> CVL <input type="checkbox"/> Others _____ (Please tick (✓) any one)	
Date of fetching KRA:	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>
Cersai Registration No.:	_____

Note: Any correction kindly counter signature, please do not use white ink.

PROPRIETARY TRADE DECLARATION
In terms of circular no. SEB/MRD/SE/CIR-42/2003 dated 19 Nov. 2003 issued by Securities Exchange Board of India the broker member is obliged to disclosed to its clients/constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that the member, its directors or its associates do invest/trade in capital/currency/derivatives segment. The same may please be noted.

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 nonresidents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those 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.

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

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

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Government. 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/subaccount to the Custodians (which are duly notarized and/or apostillé or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Cooperative 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.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: **Spouse's name or Father's name and Mother's name is Mandatory.**

B Clarification / Guidelines on filling 'Current address details' section

- 1 In case of deemed POA such as utility bill, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address'.
Document Code Description
 - 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
 - 02 Property or Municipal Tax receipt.
 - 03 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
 - 04 Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document issued by the issuing authority of such document with its valid digital signature including issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Id entities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999). Do not add '0' in the beginning of Mobile number.
- 2 Email id (Mandatory)

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- G) List of two character ISO 3166 country codes is available at the end.
- H) Please read section wise detailed guidelines/instructions at the end.
- I) For particular section update, please take (✓) in the box available before the section number and strike off the sections not required to be updated.

Kai Securities Private Limited

For office use only Application Type* New Update
 (To be filled by financial institution) KYC No. (Mandatory for KYC update required)

1. Entity DETAILS (Please refer instruction A at the end)

Name*

 Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)
 Date of Incorporation/Formation* -- Date of Commencement of Business* --
 Place of Incorporation/Formation* Country of Incorporation/Formation*
 TIN or Equivalent issuing Country*
 PAN* Form 60 furnished
 TIN/GST Registration Number

2. PROOF OF IDENTITY (POI)* (Please refer instruction B at the end)

- Officially valid documents in respect of person authorised to transact
- Certificate of Incorporation/Formation Registration Certificate Regn Certificate No.
- Memorandum and Articles of Association Partnership Deed Trust Deed
- Resolution of Board/Managing Committee Power of Attorney granted to its manager, officers/employees to transact on its behalf
- Activity Proof - 1 (For Sole Proprietorship only) Activity Proof - 2 (For Sole Proprietorship only)

3. ADDRESS DETAILS (Please see instruction C at the end)

3.1 Registered Office Address/Place of Business*

Proof of Address* Certificate of Incorporation/Formation Registration Certificate Other Document
 Address
 Line 1*
 Line 2
 Line 3
 District* PIN/Post Code* State /U. T. Code* ISO 3166 Country Code*

3.2 Local Address in India (If different from above)*

Address
 Line 1*
 Line 2
 Line 3
 District* PIN/Post Code* State /U. T. Code* ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile no. / Email-ID provided may be used) (Please refer instruction D at the end)

Tel. (Off) - Fax -
 Mobile - Email ID
 Mobile - Email ID

5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

Annexure - A

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) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

 **2a**

Name & Signature of the Authorised Signatory(ies)

Date

FATCA/CRS - SELF CERTIFICATION FORM FOR INDIVIDUALS

CLIENT CODE:

Particulars	Client Details
Name of Account Holder	
City of Birth	
Country of Birth	
Address for Tax purpose	<input type="checkbox"/> Same as mailing <input type="checkbox"/> Same as permanent
Address Type for the above	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Nationality (if national of more than one country, please mention all the countries separated by a comma)	
Father's Name (mandatory if PAN not provided)	
Spouse's Name	
Identification Type- Documents submitted as proof of identity of the individual	<input type="checkbox"/> Passport <input type="checkbox"/> Election / Voter's ID card <input type="checkbox"/> Aadhaar Card / Letter <input type="checkbox"/> PAN Card <input type="checkbox"/> Driving License <input type="checkbox"/> Others (pls specify) _____
Identification Number - for the identification type mentioned above	

Are you a tax resident of any country other than India?

First account holder: YES NO Second account holder: YES NO Third account holder: YES NO
If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below:

Account holder details	
Name of Customer	
Country/(ies) of Tax residency #	
Tax Identification Number (TIN)%	
Identification Type (TIN or Other %, please specify)	

To also include USA, where the individual is a citizen/ green card holder of USA % In case Tax Identification Number is not available, kindly provide functional equivalent\$

Certification: I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the Terms and Conditions below and hereby accept the same. I/We understand that my personal details as provided /available in the bank records will be used for CBDT reporting.



(Client Signature)

Date: _____ Place: _____

FATCA/CRS Terms & Conditions

CBDT Terms and Conditions

The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Custodian / Depository to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple demat account with _____. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

CBDT Terms and Conditions

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

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

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA / CRS indicia
U.S. Place of Birth	<ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below) AND 3. Any one of the following documents: <ul style="list-style-type: none"> • Certified Copy of “Certificate of Loss of Nationality”; or • Reasonable explanation of why the customer does not have such a certificate despite renouncing citizenship; or • Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a resident of any other country other than India; and 2. Documentary evidence (refer list below)
Telephone number in a country other than India	<ol style="list-style-type: none"> 1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
Standing instructions to transfer funds to an account maintained in a country other than India	<ol style="list-style-type: none"> 1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)

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

1. Certificate of residence issued by an authorised Government body *
 2. Valid Identification issued by authorised Government body * (e.g., Passport, National Identity Card, etc.)
- * Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

For Non-Individuals

Details of ultimate beneficial owner including additional FATCA & CRS information

*Name of the entity

Type of address given at KYC KRA Residential & Business Residential Business Regd. Off.

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

Customer ID/Folio Number

PAN

Date of Incorporation DD / MM / YY YY

City of incorporation

Country of incorporation

Entity Constitution Type Partnership Firm HUF Private Limited Company Public Limited Company
 Please tick as appropriate Society Aop/BoiSociety Trust H Liquidator Limited Liability Partnership
 Artificial Judicial Person Others specify _____

Please tick the applicable tax resident declaration Yes No

1. Is Entity* a tax resident of any country other India. Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax identification Number#	Identification Type (TIN or Other, please specify)

In case Tax identification Number is not available, kindly provide its functional equivalent \$
 In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but entity is not a Specified U.S. Person, mention Entity's exemption code here

FATCA & CRS Declaration

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, Financial institution or Direct reporting NFE (please tick as appropriate)

GIIN

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity

GIIN not available (Please tick as applicabe) Applied for

If the entity is a financial institution, Not required to apply for-please specify 2 digits sub-category

Not obtained-Non participating FI

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company' (that is, a company whose shares are regularly traded on a established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company any one stock exchange on which the stock is regularly traded) Name of listed company _____ Name of relation: <input type="checkbox"/> Subsidiary of the listed Company or <input type="checkbox"/> Controlled by a listed Company Name of stock exchange _____
3.	Is the Entity an active NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4.	Is the Entity an passive NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____

UBO Declaration

- Category (Please tick applicable category) Unlisted Company Partnership Firm
 Limited Liability Partnership Company Unincorporated association/body of individuals
 Public Charitable Trust Religious Trust Private Trust
 Others (please specify) _____

Please list below the details of controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax identification Numbers for EACH controlling person(s).
 Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person Country - Tax Residency Tax ID No. - or functional equivalent for each country"	Tax ID Type - TIN or other, please specify. Beneficial Interest - in percentage Type Code - of controlling person"	Tax ID Type - TIN or other, please specify Beneficial Interest - in percentage Type Code - of controlling person"
1. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [][][][][][] State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [][][][][][] State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP [][][][][][] State: _____ Country: _____

If passive NFE, please provide below additional details.

PAN/Any other Identification Number <small>(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)</small>	Occupation Type - <i>Service, Business, Others</i>	DOB - <i>Date of Birth</i>
City of Birth - Country of Birth	Nationality	Gender - <i>Male, Female, Others</i>
	Father's Name - <i>Mandatory if PAN is not available</i>	

1. PAN	Occupation Type	DOB	D D / M M / Y Y Y Y
City of Birth	Nationality	Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth	Father's Name		Others <input checked="" type="checkbox"/>

2. PAN	Occupation Type	DOB	D D / M M / Y Y Y Y
City of Birth	Nationality	Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth	Father's Name		Others <input checked="" type="checkbox"/>

3. PAN	Occupation Type	DOB	D D / M M / Y Y Y Y
City of Birth	Nationality	Gender	Male <input checked="" type="checkbox"/> Female <input checked="" type="checkbox"/>
Country of Birth	Father's Name		Others <input checked="" type="checkbox"/>

Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.

* To include US, where controlling person is a US citizen or green card holder

" In case Tax Identification Number is not available, kindly provide functional equivalent.

FATCA & CRS Terms and Conditions

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

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

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

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.


It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name

Designation



Place: _____

Date: _____

First Director/Partner/Trustee Second Director/Partner/Trustee Third Director/Partner/Trustee

BANK ACCOUNT(S) DETAILS (First Bank A/c. is default Bank A/c., through which transaction will generally be routed)														
No.	MICR No.				Bank Name, Branch Add.	A/c Type	Account No.				IFSC Code			
1														
2														
3														
4														
5														

Please provide Cancelled Cheque leaf for MICR & IFSC Code

DEPOSITORY ACCOUNT(S) DETAILS				
Sr. No.	Depository Participant Name	DP ID No.	BO ID	Depository Name
1*				CDSL
2				NSDL/CDSL
3				NSDL/CDSL
4				NSDL/CDSL
5				NSDL/CDSL

*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1


(Copy of a demat client master/demat statement containing name of the constituent & type should be submitted for all demat account declared).

TRADING PREFERENCES		
*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.		
Exchanges	BSE & NSE	
All Segments	Cash	Derivatives
<input checked="" type="checkbox"/> 4	<input checked="" type="checkbox"/> 5	<input checked="" type="checkbox"/> 6

If you do not wish to trade in any of segments/Mutual Fund, please mention here _____.

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

OTHER DETAILS
1. Gross Annual Income Details (please specify): Income Range per annum: <input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 Cr. <input type="checkbox"/> > 1 Cr Net-worth as on (date) _____ (_____) (Net worth should not be older than 1 year)
2. Occupation (please tick any one and give brief details): <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____
3. Is the entity involved/providing any of the following services <input type="checkbox"/> YES <input type="checkbox"/> NO (For Non-Individuals only) - For Foreign Exchange / Money Changer Services <input type="checkbox"/> YES <input type="checkbox"/> NO – Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) <input type="checkbox"/> YES <input type="checkbox"/> NO - Money Lending / Pawning <input type="checkbox"/> YES <input type="checkbox"/> NO
4. Please tick, if applicable: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP) <input type="checkbox"/> YES <input type="checkbox"/> NO
5. Any other information: _____

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS (If dealing through Sub-brokers provide details)					
Sub-Broker Name				NSE SEBI Reg. No.	
Regd. Off.				BSE SEBI Reg. No.	
Address				Remisier/AP-NSE/BSE No.	
Signature of Sub-Broker X	Tel. No.				
	Fax No.				
	Website				
Whether dealing with any other stock broker/sub-broker (if in case dealing with multiple stock brokers/sub-brokers, provide details of all)					
Name of Stock Broker		Name of Sub-Broker, if any		Client Code	Exchange
Details of disputes/dues pending from/to such stock broker/sub-broker: "Pursuant to SEBI Circular dated August 3rd,2018, w.e.f. April 1st,2019 Sub-Broker has been migrated to AP."					
ADDITIONAL DETAILS					
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):					<input type="checkbox"/> YES <input type="checkbox"/> NO
Specify your Email id, if applicable:					
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):					<input type="checkbox"/> YES <input type="checkbox"/> NO
Number of years of Investment/Trading Experience:					
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: Details as per Annexure-A					
Any other information					
INTRODUCER DETAILS (Optional)					
Name of the Introducer			Signature of Introducer X		
Add. / Tel.					
Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify_____					
DECLARATION					
1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.					
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.					
3. I/We further confirm having read and understood the contents of the 'Rights and 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.					
Name			Signature of all Authorised Signatories		
Place	Date				
FOR OFFICE USE ONLY					
UCC Code allotted to the Client:					
	Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by		
Name of the employee					
Signature					
Designation of the employee					
Employee Code					
Date					

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents.

I/We have also made the client aware of 'Rights and Obligations' document (s), 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.

Date: _____ Signature of the Authorised Signatory Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgment	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

2. Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (Not more than 4 months old)

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. In case of nonresident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the nonresident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals:

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.



NOMINATION FORM

[Annexure A to SEBI circular No.SEBI/HO/MIRSD/POD-1/P/CIR/2024/81 dated June 10, 2024]


Form for Nomination (To be filled in by individual applying singly or jointly)

TM/DP	KAI SECURITIES PRIVATE LIMITED																														
Name & Address	Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road, Matunga, Mumbai 400019.										Nomination Registration No.				Dated																
Date	D	D	M	M	Y	Y	Y	Y	DP ID									Client ID													
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]																UCC															
Nomination Details																															
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death.																															
Nomination can be made upto three nominees in the a/c.								Details of 1st Nominee								Details of 2nd Nominee								Details of 3rd Nominee							
Mandatory Details																															
1. First Name																															
Middle Name																															
Last Name																															
2. Share of each Nominee								%								%								%							
Equally (If not equally, please specify percentage)								Any odd lot after division shall be transferred to the first nominee mentioned in the form.																							
3. Relationship With the Applicant (If Any)																															
Date of Birth (in case of minor nominee(s))								D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y
Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																															
Non-mandatory Details																															
4. Address of Nominee(s)/ Guardian in case of Minor																															
City																															
State																															
Country																															
Pin																															
5. Mobile No./Tele. No. of nominee(s)/ Guardian in case of Minor																															
6. E-mail ID of nominee(s)/ Guardian in case of Minor																															

7. Nominee/Guardian (In case of Minor) Identification details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature			
<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar			
<input type="checkbox"/> Saving Bank a/c. no.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID			

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



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

Names of Witness	
Address of Witness	
Signature of Witness 	


Note: This nomination shall supersede any prior nomination made by the account holder(s), if any. The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)

Annexure B - Declaration Form for opting out of nomination

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

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

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

Names of Witness	
Address of Witness	
Signature of Witness 	

----- (Please Tear here) -----

Received nomination from:

ACKNOWLEDGEMENT RECEIPT

DP ID		Client ID		UCC						
Name										
Address										
Nomination in favour of										
First Nominee										
Second Nominee										
Third Nominee										
No Nomination	<input type="checkbox"/> Does not wish to nominate									
Registration No.		Registered on	D	D	M	M	Y	Y	Y	Y

For Kai Securities Private Limited

**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 cooperate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

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

payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Byelaws, 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 byelaws 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 nonpayment 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 cooperate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-a-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stockbroker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stockbroker shall be binding on the client/stockbroker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stockbroker.

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.
37. 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.

ELECTRONIC CONTRACT NOTES (ECN)

38. 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.
39. 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-temperable.
40. The client shall note that nonreceipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
41. The stock broker shall retain ECN and acknowledgment of the e-mail in a soft and non-temperable 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.
42. 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.
43. 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

44. 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, Byelaws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
45. 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 Byelaws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
46. 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.
47. 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.
48. 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.
49. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Byelaws, 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.

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 predetermined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such closeouts.
- 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.

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.nseindia.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 (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 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 the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations on settlement day, 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 due from clients as on date of settlement, he may retain funds/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 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 payout of funds 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 Byelaws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

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

POLICIES AND PROCEDURES (MANDATORY) OF KAI SECURITIES PRIVATE LIMITED

a. Refusal of orders for penny stocks:

Although, the term 'Penny Stock' has not been defined by NSE/BSE or any stock exchanges, SEBI a penny stock generally refers to a stock which has following mentioned characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list of illiquid securities is jointly released by NSE/BSE from time to time.)
- **Kai Securities Private Limited** recognizes that it is client's privilege to choose shares in which he/she would like to trade. However, **Kai Securities Private Limited** like to have special attention to dealing in "Penny stocks".
- **Kai Securities Private Limited** may refuse to execute any clients orders in penny stocks without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny stocks" should be referred to Head - Dealing, such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of **Kai Securities Private Limited**.
- In case of sale of penny stocks, client should ensure delivery of shares to **Kai Securities Private Limited** before the pay-in date.

b. Setting up client's exposure limit:

- Exposure limit for each client is determined by the Risk management Department based on Net-worth information, client's financial capacity, prevailing market conditions and Margin deposited by client in the form of funds/securities with the **Kai Securities Private Limited**. These limits may be set exchange-wise, segment-wise & scrip-wise.
- **Kai Securities Private Limited** retains the discretion to set and modify from time to time any clients exposure limit decided as above.
- The limits are determined by Risk Management Department based on the above criteria and payment history of the client in consultation with Sales/Sales trader.
- Whenever, any client has taken over or wants to take exposure in any security, **Kai Securities Private Limited** may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients are told to reduce the position immediately or requested to deposit extra margin to meet the shortfall. Otherwise, **Kai Securities Private Limited** may refuse to trade on behalf of such client in its own discretion.

c. Applicable brokerage rate:

- The applicable brokerage rate is mentioned in the Client registration form and any future change in the brokerage rate is communicated to the client in writing & should be with clients consent.
- The maximum brokerage chargeable will not exceed as prescribed by SEBI and exchanges.

d. Imposition of penalty/delayed payment charges by either party, Specifying the rate and the period:

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on part of client in satisfying his/her margin obligation or settlement obligations, then, **Kai Securities Private Limited** shall levy interest at the rate of 18% p.a. on such shortage amount for the delayed period on such client. **Kai Securities Private Limited** shall recover such delayed payment charges from the client by debiting the client's account.
- No interest or charges will be paid by **Kai Securities Private Limited** to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

e. Right to sell clients' securities or close clients' positions, notice to the client, on account of non payment of client's Dues to the extent of settlement/margin obligation:

- **Kai Securities Private Limited** will intimate client by way of call/email/sms before squaring off the open position of the Client and/ or sell clients' securities (including securities maintained as margin with **Kai Securities Private Limited** and securities lying in client's beneficiary/demat account) in case the Client fails to meet its settlement/ margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by **Kai Securities Private Limited**. Further, the square off of client's open position or the selling of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by **Kai Securities**

Private Limited. Kai Securities Private Limited shall have no obligation of communicating the same to the Client. **Kai Securities Private Limited** shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client.

Kai Securities Private Limited reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- (i) Where the limits given to the Client have been breached.
 - (ii) Where the Client has defaulted on their existing obligation and/or had failed to make payments/deliver securities to **Kai Securities Private Limited** within the stipulated time period.
 - (iii) Where the margin or security placed by the Client with **Kai Securities Private Limited** falls short of the applicable minimum margin as may be required to be maintained by the client.
 - (iv) Where Mark to Market Loss on the open position has reached 80% of the margins placed with **Kai Securities Private Limited** and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
 - (v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.
- Kai Securities Private Limited** shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

f. Shortages in obligations arising out of internal netting of trades:

- To determine the net obligation of a broker/trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but due to default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages to fulfill its obligation towards the other client(s). In such situation, **Kai Securities Private Limited** shall endeavor to collect the securities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to deliver the securities within 48 hours, then **Kai Securities Private Limited** shall attempt to purchase the security from the market and deliver it to the purchasing client. If **Kai Securities Private Limited** is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.

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

Kai Securities Private Limited shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- If there is shortfall in the margin deposited by client with **Kai Securities Private Limited**.
- If there is insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.
- If there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If **Kai Securities Private Limited** has reached its limit in that scrip.
- If the clients has breached the client-wise limit.
- If the client has taken or intends to take new position in a security which is in the ban period.
- If due to abnormal shortfall in the market, if market are closed.

h. Temporarily suspending or closing a client's account based at the Client's request:

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, any further dealing in such client's account will be blocked. Whenever, any suspended account wants to resume trading, request in writing should be made to management and management may ask for updated financial information & other details for reactivating such account. After receiving necessary documents, details etc. and approval from the management, client is reactivated & is allowed to carry out transaction.
- Similarly, any client desirous of closing his/her account permanently is required to inform in writing and the decision in this regard is taken by management. After necessary approval from the management, the client code is deactivated. Only after scrutinizing the compliance requirements and "no pending queries" confirmation is taken, securities and funds accounts are settled.

i. Deregistering a Client

Kai Securities Private Limited may, in its absolute discretion, decide to deregister a particular client. The illustrative

circumstances under which **Kai Securities Private Limited** may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibiting entities or SEBI debarred list.
- Such client's account has been lying dormant for a long time or client is not traceable.
- Such client has declared insolvent or any legal proceedings to declare him/her as such have been intended.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of **Kai Securities Private Limited** or may act as detriment to **Kai Securities Private Limited's** prospects.

J. Inactive Client Account

Client account will be considered as inactive, if the client does not execute a single trade during the period of 24 months from last trade. In such cases, the clients has to make written request for reactivation of his trading account, fresh documents not be required if KRA is in validated status and client confirms no change in KRA Records.

Return of client assets:

- When a client is declared as inactive all the securities of the client are transferred to the demat account of the client. The funds belonging to the client shall be returned to the client. If for any reason the funds and securities of the client cannot be transferred to the client's bank account or demat account then the same shall be transferred into a separate account of the organization. The funds and securities shall be held in the separate account until the time the organization hears from the client or their representatives.

Any trade related outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

I/We have fully understood the above and do hereby sign the same. These policies and procedures may be amended unilaterally by the broker, provided the amendment is informed to me/us and is preceded by a notice and consent is obtained from clients as per applicable laws, rules and regulations of exchange/SEBI. These policies and procedures shall always be read alongwith this client registration form and shall be referred to while deciding any dispute or claim between me / us and broker before any regulator or arbitrator or court of law.

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(Signature of the constituent)

TARIFF SHEET

MANDATORY

Brokerage Charges:

Capital Market Segment

Stock Exchange	Delivery Charges (in %age terms)	Minimum Delivery Charges per share (in Rs.)	Jobbing Charges (in %age terms)	Minimum Jobbing Charges per share (in Rs.)
NSE/BSE	_____ %	Rs. _____/-	_____ %	Rs. _____/-

Futures & Options - NSE/BSE

Nature of Transaction	in %age terms	Minimum (per Unit)	Minimum (per Lot)
Futures			
Options	_____ %	Rs. _____/-	Rs. _____/-

The above given brokerage will be exclusive of the following charges.

	NSE Cash & F&o	BSE Cash & F&o	
Transaction charges	As applicable	As applicable	
Sq. up Stamp Duty	As applicable	As applicable	
Del. Stamp Duty	As applicable	As applicable	
STT	As applicable	As applicable	
GST	As applicable	As applicable	
SEBI Fees	As applicable	As applicable	

- Note:**
1. Inter settlement/DP transaction charges arising out of purchase/sell transactions effected by constituents will be debited to Constitute Account.
 2. The above charges are subject to change by the regulatory authorities or Government agencies.
 3. Brokerage charged shall not exceed the maximum limit as prescribed by SEBI/Exchanges.
 4. All regulatory and statutory taxes/charges shall be levied at actuals, at the rate prevailing from time to time.

Signature of the Client 10 _____


RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**VOLUNTARY**

To,
KAI SECURITIES PRIVATE LIMITED
 Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road,
 Matunga, Mumbai 400019.
 Dear Sirs,

Re: Running Account Authorisation

In order to facilitate operations of my/our trading account opened, I/We would like to authorise **Kai Securities Private Limited** (hereinafter referred as “KSPL”) to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless/I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)
 Monthly **Quarterly**
3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/ we and I have traded within 30 calender days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a KSPL may retain funds in the manner specified below:
 - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
 - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
 - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

Name:	
Signature	 11
Date:	

ECN AUTHORISATION

VOLUNTARY

From: _____

Date: _____

To,
KAI SECURITIES PRIVATE LIMITED
Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road,
Matunga, Mumbai 400019.

Dear Sirs,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I / We hereby agree and consent to accept the contract notes for transactions carried on by us/me on NSE/BSE with you, in terms of the mandatory & voluntary client registration document entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my/our margin statement in digital form with contract notes.
2. I/We undertake to check the contract notes and bring the discrepancies to your notice.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: trading.complaint@kaiscurities.com
5. The Digital contract notes will be archived at an interval preferably in 3 months. If the client intends to view the digital contract notes for a period prior to 3 months client may request for the same in writing.
6. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
7. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
8. Any changes in the terms and conditions shall be intimated from time to time.
9. Any change in the E-mail ID shall be communicated by us/me through a physical letter.

Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____

Yours faithfully,



(Client Signature)

Client Code : (customer ID)

Family Declaration - Email/Mobile Updation in Family Codes
(Compulsory in case having common email & mobile in more than one account in KSPL)

VOLUNTARY

To,
KAI SECURITIES PRIVATE LIMITED

Date: _____

Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road, Matunga, Mumbai 400019.

Dear Sir/Madam,

Subject: Family Declaration for registering common Mobile/Email details

I request you to register the following mobile number and/or email id in mydemat and/or trading account(s) to be opened with you.

Mobile No.: _____ Email ID: _____

I and my family members hereby request that mobile number and email id, as mentioned above shall be considered in your records for the purpose of receiving communication from **Kai Securities Private Limited (KSPL)** or Stock Exchanges/Depositories with regard to trading/demat transactions executed by me/us through **KSPL**.

This facility shall be provided to me/us as an additional, for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/We understand that this facility is availed only by the family members where "family" means self, spouse, dependent children and dependent parents. (As per the SEBI Guidelines).

Sr. No.	Client Name	Client ID/DP ID	Relationship	Signature
1.			Self	
2.			Dependent Parent - Mother	
3.			Dependent Parent - Father	
4.			Spouse	
5.			Dependent Daughter	
6.			Dependent Son	

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Policy on Facility of voluntary freezing/blocking of Trading Accounts by Clients

- Client may request for voluntary freezing/blocking the online access to their trading account through any of the following modes:
(a) Email from registered e-mail ID (b) SMS from registered mobile number (c) Trading Member's App/website
- The client shall submit request for freeze by logging into their mobile or Internet based application validating their identity.
- On receipt of such request, the online access of the client's trading account shall be frozen/blocked and simultaneously all the pending orders including 'Good till date' and Equity SIP orders shall be cancelled.
- The timelines for freezing/blocking of the online access of the clients' trading account is as under:

Request received Time	Timelines for freezing/blocking
Trading hours and within 15 minutes before the start of trading.	Within 15 Mins
After the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

- Post freezing/blocking the client's trading account, a communication shall be sent on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked.
- The communication shall inter-alia provide the following details to the clients:
 - Pending orders in the client's trading account that have been cancelled
 - Process of re-enablement of online access
 - Details of open positions along with contract expiry information within one hour from the freezing/blocking of the trading account.
- Once the online access of the trading account is frozen / blocked such client may place orders through alternate channels such as call and trade.
- Re-enabling the online access of trading account shall be carried out after necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.
- The policy shall be displayed on the website and shall form a part of the account opening kit for all new clients.
- The Framework specified by the SEBI and the exchange shall be an integral part of the risk management policy.

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Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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


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To,

KAI SECURITIES PRIVATE LIMITED

Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road, Matunga, Mumbai 400019.

Dear Sir/Madam,

Subject: Aadhar Consent Letter

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

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


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Download Consent Form

Dear Sir/Madam,

I, _____ S/o/D/o/W/o _____, give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records/Personal information such as my name, address, date of birth, PAN number etc.


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Date:

HUF DECLARATION

FORMAT

Date:

To,

KAI SECURITIES PRIVATE LIMITED

Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road,
Matunga, Mumbai 400019.

Dear Sir,

I hereby request you to open our trading account with you, for our HUF.

Being Karta of my family, I, _____ hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. _____.

Name & signature of Adult co-parceners

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH	SIGNATURE

Name & dates of birth of minor co-parceners

SR. NO.	NAME OF FAMILY MEMBERS	SEX	RELATIONS	DATE OF BIRTH

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open new Demat Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,



Karta
(Affix stamp of HUF)

**FORMAT OF RESOLUTION
ON LETTERHEAD OF COMPANY**

FORMAT

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF _____ AT THEIR MEETING HELD ON _____.

RESOLVED THAT the Company do place orders with/give instructions to _____ for buying and selling index/stocks based futures and options of National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Limited (BSE) & cash segment of NSE/BSE.

RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose specimen signatures are appended here under.

No.	Name of Authorised person	Specimen Signature

Be and are hereby authorized severally to

1. Sign, execute and deliver orders, instructions letters, notes, contracts, share transfer forms and such other documents as may considered necessary form time to time for the aforesaid purpose, and
2. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effect to the above resolution from time to time.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution canceling or amending the same is passed by the Board of Directors of the Company is furnished to _____.

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to _____ and such other parties as may be required from time to time.

CERTIFIED TRUE COPY

Director

**ON THE LETTER HEAD OF COMPANY:
(For Corporates)**

FORMAT

Certificate dated _____ submitted by _____ to

SHARE HOLDING PATTERN of _____ as on _____ EQUITY/PREFERENCE (Please indicate and use separate sheets for equity/preference shares)

Sr. No.	Name \$	Number of shares held	Face value per share	Amt Paid up (Rs. in lakh)	% of total
1					
2					
Others					
TOTAL					100 %

\$ All initials to be expanded

Date:

Place:

Company Secretary/Whole Time Director/Managing Director

Declaration to be given by partnership on Letter head of the firm

FORMAT

Date:

To,

KAI SECURITIES PRIVATE LIMITED

Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road, Matunga, Mumbai 400019.

Dear Sir,

We refer to the trading account being open/opened with you in the name _____ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____ with depository _____ opened as a joint account in the names of the partner of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfer to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize _____, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the mandatory & voluntary client registration document and engage in business with **KAI SECURITIES PRIVATE LIMITED** and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership firm.

Name of Partners (In Block Letters)	Signatures

Annexure-A
Investor Charter – Stock Brokers

VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep ‘protection of investors’ interest’ as goal while providing service.

Services provided to Investors

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client’s funds.
- Intimation of securities held in Client Unpaid Securities Account (CUSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor’s grievances.

Rights of Investors

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive complete information about the risks, obligations, and costs of any investment before investing.
- Receive recommendations consistent with your financial needs and investment objectives.
- Receive a copy of all completed account forms and agreements.
- Receive account statements that are accurate and understandable.
- Understand the terms and conditions of transactions you undertake.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.
- Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

Various activities of Stock Brokers with timelines

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	30 days / 90 days for running account settlement (RAS) as per the preference of client. If consent not given for RAS – within 24 hours of pay-out
10.	‘Statement of Accounts’ for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)

S.No.	Activities	Expected Timelines
11.	Issuance of retention statement of funds/ commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	30 days from the receipt of the complaint

DOs and DON'Ts for Investors

DOs	DON'Ts
<ol style="list-style-type: none"> 1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product/operational framework/timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions. 6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI/Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted. 7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades. 8. Receive funds and securities/commodities on time within 24 hours from pay-out. 9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges. 10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days). 11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines. 	<ol style="list-style-type: none"> 1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker. 6. Do not ignore any emails/SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed. 7. Do not opt for digital contracts, if not familiar with computers. 8. Do not share trading password. 9. Do not fall prey to fixed/guaranteed returns schemes. 10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits. 11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.

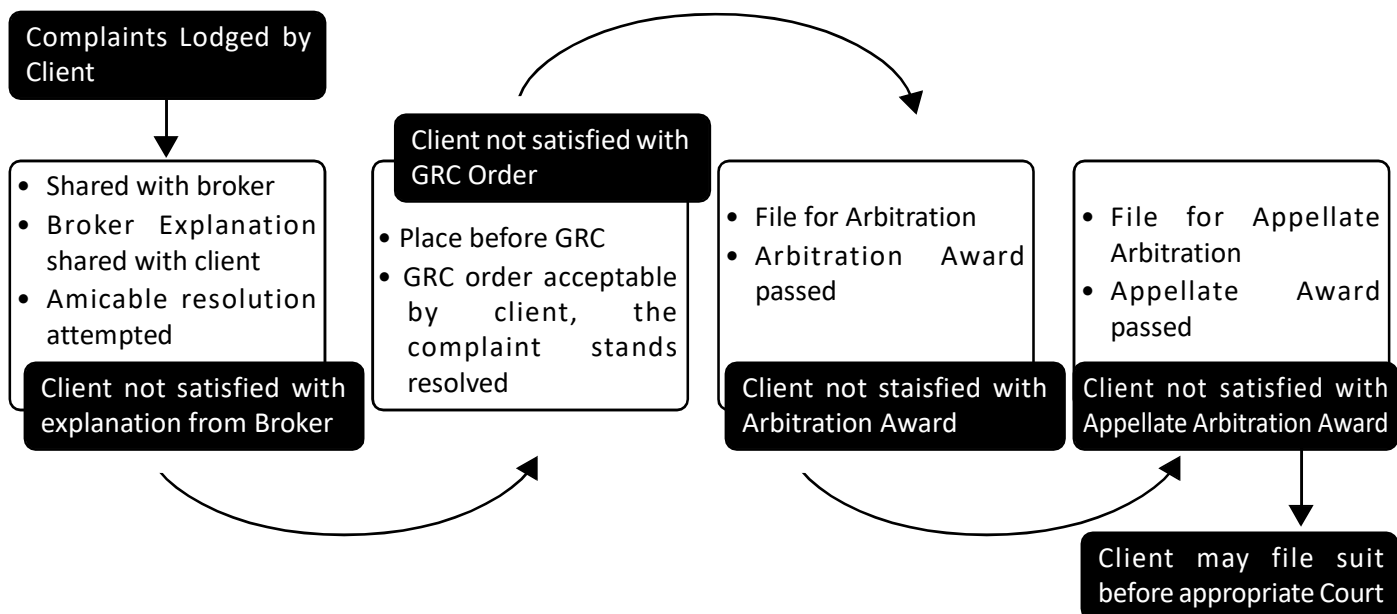
Grievance Redressal Mechanism

Level 1 – Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Level 2 – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Level 3 – The complaint not redressed at Stock Broker/Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

Complaints Resolution Process at Stock Exchange explained graphically:



Timelines for complaint resolution process at Stock Exchanges against stock brokers

S.No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day)
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3.	Registration of the complaint and forwarding to the stock broker.	C + 8 Working Days i.e. T day.
4.	Amicable Resolution.	T + 15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T + 16 Working Days.
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10.	If intention from stock broker is received and the GRC order amount is upto Rs. 20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF).The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12.	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

Handling of Investor's claims/complaints in case of default of a Trading Member/Clearing Member (TM/CM) Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)
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at the time of account opening

D	D	M	M	Y	Y	Y	Y
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Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with **Kai Securities Private Limited**.

For Kai Securities Private Limited

Director/Authorised Signatory _____


Client Defaulter Declaration

Date: _____

I, _____ having PAN: _____ do hereby declare that i have not been involved in any terrorist activity and I have not been declared as defaulter or my not is not appearing in defaulter database as per SEBI/Various Stock Exchanges/Regulatory bodies CIBIL (Credit Information Bureau of India Ltd.) etc.

I further declared that the above mentioned declaration/statement is true and correct.

Client Name: _____ Client Code: _____

Signature of Client:  _____

===== (Please Tear here) =====

Received nomination from: **ACKNOWLEDGEMENT RECEIPT**

DP ID										Client ID										UCC				
Name																								
Address																								
Nomination in favour of																								
First Nominee																								
Second Nominee																								
Third Nominee																								
No Nomination		<input type="checkbox"/> Does not wish to nominate																						
Registration No.																Registered on	D	D	M	M	Y	Y	Y	Y

For Kai Securities Private Limited


(Authorised Signatory)

Confirmation of Receipt of executed documents

Client Code: _____

Dear Sir,

I/We hereby acknowledge the receipt of below mentioned copy of Know your Client Form (KYC), Rights and Obligations, Risk Disclosure Documents (RDD), Guide Note, Do's and Dont's, Policies and Procedures, Tariff Sheet and all other documents as executed by me/us in physical form.

Signature of Client:  _____



KAI SECURITIES PRIVATE LIMITED

MEMBER:

NATIONAL STOCK EXCHANGE OF INDIA LTD. (CASH & F&O)

BSE LIMITED (CASH & F&O)

SEBI REGN. NO.: INZ000232632 • NSE CODE NO.: 11271 - BSE CODE NO.: 147

CLIENT REGISTRATION FORM

Client Code : _____

Client Name : _____

Registered office address: 620, P. J. Towers, Dalal Street, Fort, Mumbai - 400 001

Tel No.: 022-2272 3651

E-mail: info@kaisecurities.com, Website: www.kaisecurities.com

CIN: U67120MH2000PTC124578

Corporate office
address:

Office No. 5, Riddhi Siddhi Apartment, R. A. Kidwai Road,
Matunga, Mumbai 400019.

Tel No.: 022-4452 7111/7112

Additional Details

PREFERENCE FOR RECEIPT OF DOCUMENTS:

I wish to receive the KYC Documents
(RDD, Rights & Obligations Trading Do's
& Don'ts & Other documents)

- In Physical
- In Electronic

Client Signature: _____