



ADWEALTH STOCK BROKING PVT. LTD.

CIN : U74140WB1994PTC062485

Form No.

Account Opening KIT - Trading and Demat

Registered & Corporate Office	Diamond Heritage, 16 Strand Road Fairlie Place, 5th Floor, Unit No. 507 Kolkata-700 001 Phone: (033) 40302999
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Members	National Stock Exchange of India Ltd. (NSE) Bombay Stock Exchange Ltd. (BSE)
Depository Participant	Central Depository Services India Ltd. (CDSL)

Compliance Officers	Trading	Mr. MANISH KUMAR JAIN Tel. : (033) 40302999 E-mail ID : info@adwealthgroup.com
	DP	Mr. RABI SHEKHAR YADAV Tel. : (033) 40302999 E-mail ID : info@adwealthgroup.com

Exchange-Segment	SEBI Registration No.	Date
NSE-CM	INZ 000005538	03/24/2015
NSE- F&O	INZ 000005538	03/24/2015
BSE-CM	INZ 000005538	03/24/2015
BSE-F&O	INZ 000005538	03/24/2015
Depository	SEBI Registration No.	Date
CDSL	IN-DP-511-2020	07/03/2014

Directors	Mr. JAYANT JAIN Tel. : (033) 4030 2999 E-mail ID : jayant@adwealthgroup.com
	Mr. MANISH KUMAR JAIN Tel : (033) 4030 2999 E-mail ID : manish@adwealthgroup.com

Clearing Member Details

For NSE (F&O), BSE (CD)
Globe Capital Market Ltd
Regn. No. INZ000177137

For any grievance/dispute please contact Adwealth Stock Broking Pvt. Ltd. at the above address or mail at: ig@adwealthgroup.com or Call us at +91-33-40302999. For any queries relating to Trading or DP please mail at info@adwealthgroup.com and dpsecurities@adwealthgroup.com

In case you are not satisfied with the response, please contact the concerned Exchange(s)/Depository(ies):

Exchange / Depository Contacts	National Stock Exchange of India Limited , Phone : 022-26598190 • Email : ignse@nse.co.in
	Bombay Stock Exchange Limited , Phone : 022-22728097 • Email : is@bseindia.com
	Central Depository Services India Limited , Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com

You may also lodge your grievances with SEBI at <https://scores.sebi.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/18002667575

FILING OF COMPLAINTS ON SCORES –

Easy & quick: In order to make the complaint redressal mechanism through SCORES more efficient, the aggrieved Investor can file their respective complaint as per the credentials mentioned below:-

a. Register on SCORES portal :

Get yourself registered,

b. Mandatory details for filing complaints on SCORES:

i. Name, PAN, Address, Mobile Number, Email ID,

c. Benefits:

i. Effective communication, ii. Speedy redressal of the grievances.

Please refer SCORES website link <https://scores.sebi.gov.in/scores/Welcome.html>) and the FAQs available thereon.

FOR OFFICE USE ONLY	Client Name / Sole Holder	
	Second Holder (for DP Account)	
	Third Holder (for DP Account)	
	Client Trading Code / UCC	
	Client DP Code	



ACCOUNT OPENING KIT

This KIT is valid for opening Trading Account and Demat Account with ADWEALTH Stock Broking Pvt. Ltd. Clients desirous of opening both or any can utilise the relevant segments of this KIT.

The Trading Code for different desired Segments of the respective Exchanges and Demat account number will be provided on successful generation of the same.

MANDATORY DOCUMENTS

Sl.	Name of the Document	Brief Significance of the Document	Pg No.
1	Know Your Client Form (Individual)	KYC Form captures the basic information about the Client (Trading & Demat)	1-5
2	FATCA / CRS-Individual	Declaration pertaining to foreign tax liability	6
3	Know Your Client Form (Non-Individual)	KYC Form captures the basic information about the Client (Trading & Demat)	7-10
4	FATCA / CRS-Non-Individual	Declaration pertaining to foreign tax liability	11-12
5	Additional KYC Form	Additional KYC related details for Trading & Demat Account (Both Individual & Non Individual)	13-15
6	DDPI	Demat Debit & Pledge Instruction & Authorisation	16
7	Additional KYC Form for Individual	Additional KYC related details for Demat Account (Individual)	17
8	Nomination Form	Format for opting and opting out in Nomination and Declaration thereof	18-20
9	Rights & Obligations of Members, Authorised Persons and Clients	Document stating the Rights & Obligations of Member, Authorised Person and Client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	21-24
10	RDD	Document detailing risks associated with dealing in the Equity & Commodity market.	25-27
11	Do's and Don'ts for the investors	Document detailing do's and don'ts for trading on Equity & Commodity Exchanges, for the education of the investors.	28-29
12	Policies & Procedures	Document describing significant policies and procedures of member with respect to dealing with clients (Equity & Commodity)	30-32
13	Tariff Sheet (Equity/ Commodity & Demat)	Document detailing the rate / amount of brokerage & other charges	33-34
14	Rights & Obligation of Beneficial Owner & Depository Participant	Document detailing rights and obligations of beneficial owner and depository participant	35-36

Non-Mandatory Documents

15	ECN Mandate (Electronic Format)	It contains authority given to the member for providing various statements in electronic format	37
16	Declaration/ Mandate	Common Email ID/Mobile Number alongwith mandate for Authorised Representative.	38
17	PMLA Statement	It contains Prevention of Money-Laundering statement for Client Education.	39-40
18	Declaration / Authorisation	Declaration for smooth operation & adherence of compliance	41
19	Authority Letter for Running Account	Authorisation to maintain a running account for funds.	42
20	Deposits of Securites towards Margin	Authorisation to accept deposit of Securities/Commodities towards "Margin" by way of pledge for the purpose of allowing additional exposure/turnover	43
21	Issue of DIS Booklet/ Social Media Information of the Client	Option Form for Issue of DIS Booklet / Captures Social Media presence of the client	44
22	Family/Mobile / Email Declaration	Common Email ID/Mobile Number alongwith mandate for Authorised Representative.	45-46
23	Terms & Conditions-cum-Registration / Modification Anx. 2.4	It contains related Terms & Conditions	47-48
24	SMS Alerts	It describes detailed description for SMS Alert sending and captures the mobile number	49
25	MITC	It describes Most Important Terms & Conditions (MITC) (For non-custodial settled trading accounts)	50
26	Policy on Goods	It Describes Policy On Good Till Cancelled / Good Till Triggered Orders for Non-institutional Clients.	51-52
27	Policy on Freezing/Blocking	It Describes Policy on Freezing/blocking is only for the online access to the client's trading account	53
28	BSDA Account	It describes the request to open a Basic Services Demat Account (BSDA)	54
29	Instruction / Notes	It educates the clients for filling up the KYC form	55
30	Client Consent	It describes various Client Consents in a single statement.	56



DOCUMENTS CHECKLIST

Documents admissible

1. Photograph
Recent passport size color photograph is required. Photograph should be printed on photo paper.
2. Proof of Address (Any one of the following)
 - a. Aadhar Letter issued by UIDAI.
 - b. Passport/Driving License (should be valid on the date of account opening)
 - c. Voter ID
3. Bank Proof (Any one of the following)
NOTE: (First/Sole applicant should be the first holder in the bank account as well)
 - a. Copy of cheque/Cancelled Cheque (if cheque bears pre-printed name of the client) OR ELSE
 - b. Bank Statement/Pass Book (if it is not on the stationery of the bank then it should be authenticated by the bank with seal)
 - c. Letter from Bank
4. Demat Proof (Any one of the following)
 - a. Client Master
 - b. DP Statement
 - c. Transaction cum Holding Statement
 - d. Welcome letter
5. Income Proof (Any one of the following) (Mandatory for Opening Trading Account for Derivative Segment)
 - a. Copy of latest ITR Acknowledgment
 - b. Latest Salary Slip or Copy of Form 16 as of last assessment year
 - c. Net worth certificate (issued as on last financial year)
 - d. Below mentioned documents with self declaration
 - Copy of latest Demat Account Holding Statement
 - Copy of Bank Statement for last SIX months
 - Any other relevant documents substantiating ownership of assets

NOTE:

- Copies of all documents should be self attested
- All submitted documents shall be verified with originals by AP / Employee of **Adwealth Stock Broking Pvt. Ltd.**
- In case the original of any documents is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents as per the list in section E on page 5

INDIVIDUALS

1. Photograph
2. PAN
3. Proof of Permanent Address
4. Correspondence Address
5. Bank Proof with MICR Code
6. Demat Proof (required if opening only a trading account)
7. Income Proof (for trading in derivatives segments)
8. Cheque for DP AMC (as per the scheme opted)

NRI

1. Photograph
2. PAN
3. Proof of Foreign Address
4. Proof of Local Address
5. Additional Documents
 - a. Passport with visa copy/PIO Card/OCI Card
 - b. PINS Declaration Copy

c. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge certificate)

6. Bank Proof with MICR Code
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)

HUF

1. Photograph of Karta
2. PAN
 - a. HUF
 - b. Karta
3. Proof of Address
 - a. HUF
 - b. Karta
4. Deed of Declaration of HUF/List of coparceners
5. Bank Proof with MICR Code of the HUF



6. Demat Proof (required if opening only a trading account)
7. Income Proof (for trading in derivatives segments)
8. Cheque for DP AMC (as per the scheme opted)

CORPORATE

1. Photograph
 - a. whole time directors/two directors in charge of day to day operations
 - b. Individual promoters holding control – either directly or indirectly
2. Proof of Address
 - a. whole time directors/two directors in charge of day to day operations
 - b. Individual promoters holding control – either directly or indirectly
3. PAN
 - a. whole time directors/two directors in charge of day to day operations
 - b. Individual promoters holding control – either directly or indirectly
4. DIN Number
 - a. whole time directors/two directors in charge of day to day operations
5. Bank Proof with MICR Code
6. Demat Proof (required if opening only a trading account)
7. Income Proof (for trading in derivatives segments)
8. Balance Sheet and Profit & Loss account with net-worth information for last two years
9. Share Holding Pattern(as of last quarter or more recent)
10. Memorandum and Articles of Association and certificate of incorporation
11. Board Resolution
12. Form 18 with Challan
13. Form 32 with Challan
14. List of Directors
15. Authorized signatories List
16. Cheque for DP AMC (as per the scheme opted)

PARTNERSHIP FIRM

1. Photograph of all the Partners
2. PAN
 - a. Partnership Firm
 - b. All the Partners
3. Proof of Address
 - a. Partnership Firm
 - b. All the Partners
4. Balance Sheet and Profit & Loss account for last two years
5. Copy of Partnership Deed
6. Certificate of Registration (for registered Partnership Firms only)
7. Authorized Signatories list with specimen signatures
9. Bank Proof with MICR Code
10. Demat Proof (required if opening only a trading account)

11. Income Proof (for trading in derivatives segments)
12. Cheque for DP AMC (as per the scheme opted)

LIMITED LIABILITY PARTNERSHIP (LLP)

1. Photograph of all the Partners
2. PAN
 - a. LLP
 - b. All the Partners
3. Proof of Address
 - a. LLP
 - b. All the Partners
4. Balance Sheet and Profit & Loss account for last two years
5. Net-worth certificate (certified by a CA)
6. Copy of Partnership Deed
7. Certificate of Registration
8. Authorized Signatories list with specimen signatures (as per our format)
9. Bank Proof with MICR Code
10. Demat Proof (required if opening only a trading account)
11. Income Proof (for trading in derivatives segments)
12. Cheque for DP AMC (as per the scheme opted)

TRUST

1. Photograph of all the signatories
2. PAN
 - a. Trust
 - b. All the signatories
3. Proof of Address
 - a. Trust
 - b. All the signatories
4. Balance Sheet and Profit & Loss account for last two years
5. Copy of Trust Deed
6. Certificate of Registration (for registered trusts only)
7. List of Trustees certified by Managing Trustees/CA
8. Bank Proof with MICR Code
9. Demat Proof (required if opening only a trading account)
10. Income Proof (for trading in derivatives segments)
11. Cheque for DP AMC (as per the scheme opted)

FOREIGN INSTITUTIONAL INVESTORS (FIIS)

1. Photograph of all the signatories
2. PAN
 - a. Bank/Institutional Investors
 - b. All the Signatories
3. Proof of Address
4. Copy of the SEBI registration certificate
5. Authorized Signatories list with specimen signatures
6. Bank Proof with MICR Code
7. Demat Proof (required if opening only a trading account)
8. Income Proof (for trading in derivatives segments)
9. Cheque for DP AMC (as per the scheme opted)

Name of Stock Broker / Trading Member / Clearing Member: **ADWEALTH STOCK BROKING PVT. LTD.**

SEBI Registration No. and Date:

INZ000005538 Dated : 24-03-2015

Registration Office address:

**Diamond Heritage, 16, Strand Road, Fairlie Place,
5th Floor, Unit No. 507, Kolkata-700001**

Phone: **(033)40302999**

Fax: **(033) 40302999**

Website: **www.adwealthgroup.com**

Correspondence Office Address:

Phone:

Fax:

Website:

Compliance Office name, phone no. & email id:

Manish Kumar Jain,

Ph: 033-40302999

E: info@adwealthgroup.com

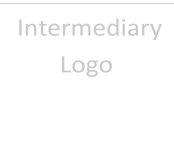
CEO name, Phone No. & email id:

For any grievance/dispute please contact Adwealth Stock Broking Pvt. Ltd. at the above address or email id: avonmanagement@adwealthgroup.com, ig@adwealthgroup.com and Phone No. (033) 40302999. In case of not satisfied with the response, please contact the National Stock Exchange of India Limited (NSE), Phone : 022-26598190 • Email : ignse@nse.co.in, BSE Limited (BSE), Phone : 022-22728097 • Email : is@bseindia.com

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



ADWEALTH STOCK BROKING PVT. LTD.



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

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

Application Number: _____

Application Type*: New KYC Modification KYC

KYC Mode*: Please Tick (✓)

Normal EKYC OTP EKYC Biometric Online KYC Offline KYC Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name+ (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

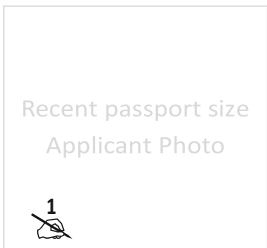
Gender* Male Female Transgender

Marital Status* Single Married

Nationality* Indian Other _____

Residential Status* Resident Individual Non Resident Indian
Please Tick (✓) Foreign National Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)



Cross Signature across photograph

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

- A — Aadhaar Card XXXX XXXX _ _ _ _
 - B — Passport Number _____ (Expiry Date) _____
 - C — Voter ID Card _____
 - D — Driving License _____ (Expiry Date) _____
 - E — NREGA Job Card _____
 - F — NPR _____
 - Z — Others _____ (any document notified by Central Government)
- Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Unspecified

Applicant Wet Signature

2

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

Line 1* _____
 Line 2 _____
 Line3 _____
 City/
 Town/Village* _____ District* _____ Pin Code* _____
 State* _____ Country* _____
 Address Type* Residential/Business Residential Business _____ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX _ _ _ _ _
 B — Passport Number _____ (Expiry Date) _____
 C — Voter ID Card _____
 D — Driving License _____ (Expiry Date) _____
 E — NREGA Job Card _____
 F — NPR Letter _____
 Z—Others _____ (any document notified by Central Government)
 Identification Number _____

3. Contact Details

Email ID _____
 Mobile No. _____
 Tel (off) _____ Tel (Res) _____


4. Applicant Declaration

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: _____ (DD-MM-YYYY)
 PLACE: _____

- Applicant Wet Signature

 3

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input checked="" type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : <div style="border: 1px solid black; padding: 5px; text-align: center; width: fit-content; margin: 0 auto;"> ADWEALTH STOCK BROKING PVT. LTD. </div>
Employee Signature and Stamp	Institution Name and Stamp



KYC - APPLICATION FORM FOR DEMAT A/C - INDIVIDUAL (For Joint A/c)

Please fill this form in ENGLISH and in BLOCK LETTERS. (Use black ink)

1	Second Holder's Name	
2	Name of Father/Spouse	
3	Permanent Address	
4	Correspondence Address, (if different from above)	

Affix recent passport size Photograph and Sign across it

5 a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c. Date of Birth	D	D	M	M	Y	Y	Y	Y
-------------	--	-------------------	--	------------------	---	---	---	---	---	---	---	---

6 a. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other <i>Pls specify (if other)</i>	b. Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National
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7 a. PAN, copy attached	<input type="checkbox"/>	b. UID/Aadhaar																		
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8	Specify proof of Identity submitted	9. Specify address proof submitted
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10	Contact Details	Telephone (Office)		Telephone (Resi)	
		Fax No.		Mobile No.	
		E-mail ID			

11	Place of Birth	
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1	Third Holder's Name	
2	Name of Father/Spouse	
3	Permanent Address	
4	Correspondence Address, (if different from above)	

Affix recent passport size Photograph and Sign across it

5 a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c. Date of Birth	D	D	M	M	Y	Y	Y	Y
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6 a. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other <i>Pls specify (if other)</i>	b. Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National
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7 a. PAN, copy attached	<input type="checkbox"/>	b. UID/Aadhaar																		
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8	Specify proof of Identity submitted	9. Specify address proof submitted
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10	Contact Details	Telephone (Office)		Telephone (Resi)	
		Fax No.		Mobile No.	
		E-mail ID			

11	Place of Birth	
----	----------------	--

Form should be filled in English and in Block Letters (Use Black ink only)

AMC / INTERMEDIARY NAME & CODE : Adwealth Stock Broking Pvt. Ltd. • CVL POS Code :2200013473

DECLARATION

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

Signature of the 2nd Applicant

Signature of the 3rd Applicant

Place		Date	D	D	M	M	Y	Y	Y	Y
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<input type="checkbox"/> (Self Attested) True copies of documents received	Seal/Stamp of the intermediary	IPV Done <input type="checkbox"/> on	D	D	M	M	Y	Y	Y	Y
<input type="checkbox"/> (Original verified) Self Certified Documents copies received		Staff details (Name, code & Designation)								
		Signature								
		Date	D	D	M	M	Y	Y	Y	Y



ADWEALTH STOCK BROKING PVT. LTD.

Diamond Heritage, 16 Strand Road, Fairlie Place
5th Floor, Unit No. 507, Kolkata-700 001

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

	First/Sole Holder	Second Holder (if any)	Third Holder (if any)
Name			
Father's/Spouse's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
PAN			
Date of Birth			
Place of Birth			

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

	First/Sole Holder	Second Holder (if any)	Third Holder (if any)
Client Code:			
Demat Account No.			
1 Indicate (✓) your Tax Residency /Citizenship / Nationality	<input type="checkbox"/> India <input type="checkbox"/> U.S.A. <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A. <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A. <input type="checkbox"/> Others
2 Type of address given at KRA	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
3 Permissible documents	<input type="checkbox"/> Passport <input type="checkbox"/> Election ID Card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving Licence <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job card <input type="checkbox"/> Others_____	<input type="checkbox"/> Passport <input type="checkbox"/> Election ID Card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving Licence <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job card <input type="checkbox"/> Others_____	<input type="checkbox"/> Passport <input type="checkbox"/> Election ID Card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving Licence <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job card <input type="checkbox"/> Others_____
If ticked on "Others" and /or "U.S.A.", please provide all details under Point No. 4, 5, 6, 7 below:			
4 Specify City and Country of Birth			
5 Specify Country(ies) of Tax Residency / Citizenship / Nationality / Green Card holder, other than India			
6 Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
7 Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Royalty <input type="checkbox"/> Gift <input type="checkbox"/> Business <input type="checkbox"/> Rental Income <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others_____	<input type="checkbox"/> Salary <input type="checkbox"/> Royalty <input type="checkbox"/> Gift <input type="checkbox"/> Business <input type="checkbox"/> Rental Income <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others_____	<input type="checkbox"/> Salary <input type="checkbox"/> Royalty <input type="checkbox"/> Gift <input type="checkbox"/> Business <input type="checkbox"/> Rental Income <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others_____

DECLARATION

I / We hereby declare, agree and confirm the following:

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform xxxx Securities Limited within 30 days, in case of any change in the above given status on a future date;
- If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by xxxxx Securities Limited to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/ CRS norms are applicable or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;
- If my / our Country of Birth is US, however, I / We declare that 1/ We are not US Person, I / We shall provide a certificate of relinquishment of citizenship (Loss of Nationality) OR a self certification stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.



First / Sole Holder Signature



Second Holder Signature



Third Holder Signature



KYC - APPLICATION FORM FOR TRADING AND DEMAT A/C - NON-INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS. (Use black ink)

A. IDENTITY DETAILS

1	Name of the Applicant																
2	Date of incorporation	D	D	M	M	Y	Y	Y	Y	Place of incorporation							
3	a. Business Commencement date	D	D	M	M	Y	Y	Y	Y	b. Regn. No. (eg. CIN)							
4	PAN, copy attached <input type="checkbox"/>																
5	Status (Please tick any one)	<input type="checkbox"/> Pvt. Ltd. Co.	<input type="checkbox"/> Public Ltd. Co.	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Partnership	<input type="checkbox"/> Charities	<input type="checkbox"/> Bank	<input type="checkbox"/> Society	<input type="checkbox"/> Trust	<input type="checkbox"/> Defense Establishment	<input type="checkbox"/> Others	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> AOP	<input type="checkbox"/> Non Govt. Organisation	<input type="checkbox"/> Government Body	<i>(Please specify)</i>
		<input type="checkbox"/> BOI	<input type="checkbox"/> LLP	<input type="checkbox"/> FI													

B. ADDRESS DETAILS

1	Correspondence Address										
		City/Town/Village	PIN Code								
		State	Country								
2	Specify proof of correspondence address submitted										
3	Contact Details	Telephone (office)						Telephone (Res)			
		Fax No.						Mobile No.			
		Email ID									
4	Registered Address <i>(if different from above.)</i>										
		City/Town/Village	PIN Code								
		State	Country								
5	Specify proof of registered address submitted										

C. DECLARATION

We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware we may be held liable for it and the same will render our account liable for termination and suitable action.

Place	Signature of Applicant	Date	D D M M Y Y Y Y

Form should be filled in English and in Block Letters (Use Black ink only)

AMC / INTERMEDIARY NAME & CODE : Adwealth Stock Broking Pvt. Ltd. • CVL POS Code :2200013473

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by
Staff Name/ AP			
Designation/ Reg. Code			
Signature			
Date	D D M M Y Y Y Y	D D M M Y Y Y Y	D D M M Y Y Y Y
<input type="checkbox"/> (Original verified) Self Certified Documents copies received <input type="checkbox"/> (Self Attested) True copies of documents received			
Sign/Seal/Stamp of the intermediary			



ADWEALTH DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLETIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT **Annexure A**

Name of Applicant	PAN								
-------------------	-----	--	--	--	--	--	--	--	--

Form should be filled in English and in Block Letters (Use Black ink only)

S.N.	Particulars	Photograph	Signature with Stamp	
1	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			
2	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			
3	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			
4	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			
5	Name	Affix recent passport size Photograph and Sign across it		
	Residential Address			
	Designation			
	PAN			Dt. of Birth
	DIN/UID			Contact No.
	Aadhar No.			

 First Signatory	 Second Signatory	 Third Signatory
Place	Name and signature with Stamp of the Authorised Signatory(ies)	Date
		D D M M Y Y

AMC / INTERMEDIARY NAME & CODE : Adwealth Stock Broking Pvt. Ltd. • CVL POS Code :2200013473



Important Instructions:

- A) Fields marked with '**' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
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 tick '✓' in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type* [] New [] Update
(To be filled by financial institution) KYC Number [] (Mandatory for KYC update request)

[] 1. ENTITY DETAILS (Please refer instruction A at the end)

[] Name* [] Entity Constitution Type* [] Others (Specify) [] 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 document(s) in respect of person authorised to transact
[] Certificate of Incorporation / Formation [] Registration Certificate [] Memorandum and Articles of Association [] Partnership Deed [] Trust Deed
[] Resolution of Board / Managing Committee [] Power of Attorney granted to its manager, officers or employees to transact on its behalf
[] Activity Proof - 1 (For Sole Proprietorship Only) [] Activity Proof - 2 (For Sole Proprietorship Only)

[] 3. Address* (Please refer instruction C at the end)

[] 3.1 Registered Office Address / Place of Business*

Proof of Address* [] Certificate of Incorporation / Formation [] Registration Certificate [] Other Document
Line 1* []
Line 2 []
Line 3 [] City / Town / Village* []
District* [] Pin/Post Code* [] State/U.T. Code* [] ISO 3166 Country Code* []

[] 3.2 Local Address in India (if different from Above)*

Line 1* []
Line 2 []
Line 3 [] City / Town / Village* []
District* [] Pin/Post Code* [] State/U.T. Code* [] ISO 3166 Country Code* []

[] 4. Contact Details (All communications will be sent to Mobile number / 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)

[] 6. REMARKS (If any)

[]
[]


7. APPLICANT DECLARATION

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

Date : - -

Place :

[Signature / Thumb Impression]

 Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies Equivalent e-document

KYC DOCUMENT VERIFIED CARRIED OUT BY		INSTITUTION DETAILS	
Identity Verification	<input type="checkbox"/> Done	Date	<input type="text" value="DD"/> - <input type="text" value="MM"/> - <input type="text" value="YYYY"/>
Emp. Name	<input type="text" value=""/>		
Emp. Code	<input type="text" value=""/>		
Emp. Designation	<input type="text" value=""/>		
Emp. Branch	<input type="text" value=""/>		
<input type="text" value=""/>		<input type="text" value=""/>	
[Employee Signature]		[Institution Stamp]	

CENTRAL KYC REGISTRY | Instructions / Check List / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form

- A Clarification / Guidelines for filing Entity Details section**
- Entity Constitution Type

A - Sole Proprietorship	H - Trust	O - Artificial Jurisdictional Person
B - Partnership Firm	I - Liquidator	P - International Organisation or Agency /Foreign Embassy or Consular Office etc.
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Artificial Liability Partnership	R - Others
E - Public Limited Company	L - Public Sector Banks	S - Foreign Portfolio Investors
F - Society	M - Central/State Government Department or Agency	
G - Association of Persons (AOP) / Body of Individuals (BOI)	N - Section 8 Companies (Companies Act, 2013)	
 - In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.
- B Clarification / Guidelines for filling 'Proof of Identity[PoI]' section**
- Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
 - Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
 - Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
 - 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents 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.
 - 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
 - KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.
- C Clarification / Guidelines for filling 'Proof of Address [PoA]' section**
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - Certified copy of document or equivalent e-document to be submitted.
- D Clarification / Guidelines for filling 'Contact Details' section**
- 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.
- E Clarification / Guidelines for filling 'Related Person Details' section**
- Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
 - Proof of Address [PoA]
 - PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - 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 Identities Data Repository.
 - If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
 - 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.
- F Provision for capturing signature of multiple authorised persons is to be made by the RE.**



FATCA & CRS Declaration - Non Individual

PAN Trading DP Code

Name

Please tick the applicable tax resident declaration:

1. Is "Entity" a tax resident of any country other than 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)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, Please specify)
1.			
2.			
3.			

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

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

1	We are a Financial institution (Refer 1 of Part C) or Direct reporting NFE (Refer 3(vii) of Part C) (please tick as appropriate) <input type="checkbox"/>	GIIN <input type="text"/> 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 applicable) <input type="checkbox"/>	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Not-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digit sub-category <input type="text"/> (Refer 1A of Part C)

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 an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> <i>(if yes, please specify any one stock exchange on which the stock is regularly traded)</i> 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) (Refer 2b of Part C)	Yes <input type="checkbox"/> <i>(if yes, please specify any one stock exchange on which the stock is regularly traded)</i> Name of listed company _____ Nature 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 (Refer 2c of Part C)	Yes <input type="checkbox"/> Name of Business _____ Please specify the sub-category of Active NFE <input type="text"/> (Mention code - refer 2c of Part C)
4	Is the Entity an active NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Name of Business _____

UBO Declaration (Mandatory for all entities except, a Publicity Trade Company or a related entity of Publicity Traded Company)

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). *(Please attach additional sheets if necessary)*

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) of Part C)			
Country of Tax residency*			
PAN#			
Address	Zip <input type="text"/> State _____ Country _____	Zip <input type="text"/> State _____ Country _____	Zip <input type="text"/> State _____ Country _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Tax ID*			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth			
Percentage of Holding (%)\$			
<small>* To include US, where controlling person is a US citizen or green card holder # If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable. % In case Tax Identification Number is not available, kindly provide functional equivalent \$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary</small>			
DECLARATION			
I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Adwealth Stock Broking Private Limited for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).			
Name			
Designation			
Sign here: (1)		Date :	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
		Place :	<input type="text"/>
For Investor convenience, Adwealth Stock Broking Private Limited collecting this mandatory information for updating whether you are already an investor or would become an investor in future. Please submit the form fully filled, signed, for all the holders, separately or you can dispatch the hard copy to-			
Adwealth Stock Broking Private Limited Diamond Heritage, 16 Strand Road, Fairlie Place 5th Floor, Unit No. 507, Kolkata-700 001			
For Detail Terms & Conditions please visit www.adwealthgroup.com			



ADDITIONAL KYC RELATED DETAILS FOR TRADING & DEMAT A/C (For both Individual & Non-Individual)

DETAILS REQUIRED FOR DEMAT ACCOUNT

For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust etc., although the DEMAT account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should be mentioned below :

DETAILS OF ACCOUNT HOLDER(S):

	Sole / First Holder	Second Holder	Third Holder
Name			
PAN			
UID			
UCC			
Exchange Name			
Exchange ID	<input type="checkbox"/> NSE 90026 <input type="checkbox"/> BSE 6280		

Type of DEMAT Account

For Individual Accounts	For NRI / FOREIGN NATIONAL Accounts	For Non-Individual Accounts
<input type="checkbox"/> Resident	<input type="checkbox"/> Repatriable	<input type="checkbox"/> Body Corporate
<input type="checkbox"/> Director	<input type="checkbox"/> F.N. Depository Receipts	<input type="checkbox"/> FI
<input type="checkbox"/> Minor	<input type="checkbox"/> Non-Repatriable	<input type="checkbox"/> Bank
<input type="checkbox"/> Director's Relative	<input type="checkbox"/> Foreign National	<input type="checkbox"/> FII
<input type="checkbox"/> HUF/AOP	<input type="checkbox"/> Repatriable-Promoter	<input type="checkbox"/> Mutual Fund
<input type="checkbox"/> Margin Trading (MANTRA)	<input type="checkbox"/> Depo. Receipts	<input type="checkbox"/> Clearing House
<input type="checkbox"/> Promoter	<input type="checkbox"/> Non Repatriable-Promoter	<input type="checkbox"/> Trust
<input type="checkbox"/> Others (Plz specify) _____	<input type="checkbox"/> Others (Plz. specify) _____	<input type="checkbox"/> Clearing Member
		<input type="checkbox"/> OCB
		<input type="checkbox"/> Others _____

In case of NRI / Foreign Nationals / FII / Others (as may be applicable)

RBI Approval Reference No.		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Regn. No. (for FIIs only)										

Standing Instructions

1	I/We authorise you to receive credits automatically into my/our Demat account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	SMS Alert Facility (Mandatory if you are giving Power of Attorney (PoA). (Ensure that the mobile number is provided in the KYC Application Form also.) Refer to Terms & Condition given in Annexure 2.4		
	Sole / First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3	Account Statement Requirement <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> As per SEBI Regulations		
4	I/ We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5	Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No
6	Pledge Processing Flag <input type="checkbox"/> Yes <input type="checkbox"/> No	7	Email Download by RTAS <input type="checkbox"/> Yes <input type="checkbox"/> No
8	Annual Reports From RTAS <input type="checkbox"/> Physically <input type="checkbox"/> Electronic <input type="checkbox"/> Both		

NOTE: to register for Easy please visit website: www.cdslindia.com, easi allows bo to view his ISIN balances, transactions and value of the portfolio online

Clearing Member Details (to be filled up by Clearing Members only) - Non-Individual DEMAT Account

1	Name of Stock Exchange	2	Name of Clg. Corpn./Clg. House
3	Clearing Member ID	4	SEBI Regn. No.
5	Trade Name		
6	CM-BP ID (to be filled up by DP)	7	TM ID (to be filled up by DP)

GUARDIAN'S DETAILS (same in line with KYC Form - must be filled up where Sole holder is MINOR)

1	Guardian Name																		
2	Guardian Address																		
		City/Town/Village						PIN Code											
		State						Country											
3	Relationship with Minor						4	Guardian's PAN											
5	Contact Details of Guardian	Telephone (Office)					Telephone (Res.)												
		Fax No.					Mobile No.												
		Email ID																	
6A	Gross Annual Income <small>(Income Range per Annum (Plz tick))</small>	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> Above ₹ 25 Lac																	
OR																			
6B	Networth <small>(should not be older than 1 year)</small>	Amount (₹)					As on (Date)					D	D	M	M	Y	Y	Y	Y
7	a. Gender		b. Marital Status		c. Date of Birth				d. Nationality										
	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Single	<input type="checkbox"/> Married	D	D	M	M	Y	Y	Y	Y	<input type="checkbox"/> Indian	<input type="checkbox"/> Other Pls specify (if other) _____					
	e. Status		f. Occupation		<input type="checkbox"/> Pvt. Sector		<input type="checkbox"/> Business		<input type="checkbox"/> Student		<input type="checkbox"/> Retired								
<input type="checkbox"/> Resident Individual		<input type="checkbox"/> Non Resident		<input type="checkbox"/> Pub. Sector		<input type="checkbox"/> Professional		<input type="checkbox"/> Housewife		<input type="checkbox"/> Forex Dealer									
<input type="checkbox"/> Foreign National		<input type="checkbox"/> Govt. Service		<input type="checkbox"/> Agriculturist		<input type="checkbox"/> Others, specify _____													
8	Please tick, if applicable		<input type="checkbox"/> Politically Exposed Person (PEP)					<input type="checkbox"/> Related to Politically Exposed Person (RPEP)											

Affix recent
passport size
Photograph of the
guardian
and
Sign across it

OTHER DETAILS

FOR BOTH	1st Holder	1 Gross Annual Income <small>(Income Range per Annum, Plz tick)</small>		<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> Above ₹ 25 Lac															
		OR / AND (For Non-Individual)																	
		2 Net worth (Not older than 1 year)		Amount (₹)					As on (Date)					D	D	M	M	Y	Y
2nd Holder	2	Occupation (Pls. tick any one give brief details)		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Govt. 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"/> Forex Dealer		<input type="checkbox"/> Others (plz. specify) _____									
		3 Please tick, if applicable		<input type="checkbox"/> Politically Exposed Person (PEP)					<input type="checkbox"/> Related to politically exposed person (RPEP)										
3rd Holder	1	1 Gross Annual Income <small>(Income Range per Annum, Plz tick)</small>		<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> Above ₹ 25 Lac															
		OR / AND (For Non-Individual)																	
		2 Net worth (Not older than 1 year)		Amount (₹)					As on (Date)					D	D	M	M	Y	Y
FOR DEMAT	2	Occupation (Pls. tick any one give brief details)		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Govt. 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"/> Forex Dealer		<input type="checkbox"/> Others (plz. specify) _____									
		3 Please tick, if applicable		<input type="checkbox"/> Politically Exposed Person (PEP)					<input type="checkbox"/> Related to politically exposed person (RPEP)										
Any Other Information																			

BANK DETAILS (Mandatory)

	Primary	Secondary, if any
Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others, <small>in case of NRI, NRE/NRO (Plz specify)</small>
Bank Account No.		
Bank Name		
Branch Address		
MICR Code		
IFSC Code		
Proof Provided	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No



PAST ACTIONS

Details of any actions/proceedings initiated/pending/taken by SEBI/Stock Exchange/any other authority against the applicant/constituent or its Partners / Promoter s/ Wholetime Directors / Authorised Persons in-charge of dealing in securities during the last 3 years
(You may use a separate sheet)

TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade.
Please strike off the segment not chosen by you.

EXCHANGE	NSE & BSE				BSE & NSE
ALL SEGMENT	CASH / MUTUAL FUND	F & O	CURRENCY	DEBT	COMMODITY DERIVATIVES
7	7	7	7	7	7
					7
					DATE :

In case you do not wish to trade in any segments/ Mutual Funds, please mention here

DP DETAILS

FOR TRADING ACCOUNT

Sr.#	Particulars																														
1	DP	<input type="checkbox"/> CDSL										<input type="checkbox"/> NSDL																			
2	DP Name	ADWEALTH STOCK BROKING PVT. LTD.																													
3	DP ID	1	2	0	7	9	8	0	0	Provide Proof										Provide Proof											
4	Beneficiary Name																														
5	BO/Client ID											Provide Proof										Provide Proof									

DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

If Client is dealing through the Authorised Person, provide following details:

Authorised Person's Name																					
SEBI Registration Number																					
Registered Office Address																					
Phone											Fax										
Website											E-mail										

Whether dealing with any other Stock Broker (in case dealing with multiple Stock Broker, provide details of all)

Stock Broker's Name																					
Client Code											Exchange										
Details of disputes/dues pending from/to such stock broker																					

ADDITIONAL DETAILS

Whether you wish to receive physical contract notes/Documents or electronic contract notes (ECN)/Documents, please select (In case of currency ECN is mandatory)	<input type="checkbox"/> Physical	<input type="checkbox"/> Electronic
If Electronic, please specify your E-mail ID		
Whether you wish to avail of the facility of Internet Trading / wireless technology, please tick	<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 authorised to deal in securities on behalf of company / firm / others : Fill in Annexure A		

INTRODUCER DETAILS (Mandatory in case of Authorised Person)

FOR BOTH DEMAT AND TRADING ACCOUNT

Introducer's Name	First Name	Middle Name	Surname
Introducer's Address			
Introducer's Status	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Other (pls. specify) _____		
Signature	✓		Phone No.

DEMAT DEBIT AND PLEDGE INSTRUCTION [DDPI]

I/We Mr. /Mrs. / M/s (first holder) _____, (Second Holder)

_____, (Third Holder)

_____ S/o, D/o, W/o

residing at/having registered office at _____

an Individual / a Sole Proprietary concern / a Partnership Firm / a Body Corporate / Trust, registered/incorporated, under the provisions of the (hereinafter referred to as "Beneficial Owner") wish to avail/have availed the broking / E-broking facilities and other services offered (hereinafter referred to as "Services"), by **Adwealth Stock Broking Pvt. Ltd.** company incorporated under the companies Act 1956 and having its Registered office address at Diamond Heritage, 16 Strand Road Fairlie Place, 5th Floor, Unit No. 507, Kolkata-700 001. (hereinafter referred to as "Member") and is a Member (Trading Member) of The National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange limited (BSE) (hereinafter referred to as "the Exchange") and is also a "Depository Participant" registered with Central Depository Services (India) Limited (CDSL).

WHEREAS I am /W e are investor(s) engaged in buying, selling and trading of securities in Cash Segment and/or dealing in F&O and Currency Derivative Segment of NSE/BSE through broker, a Member of National Stock Exchange of India Limited (NSE) having Member ID 90026 & Bombay Stock Exchange Limited (BSE) having Member ID 6280, bearing SEBI Registration no. INZ00005538 **AND WHEREAS** I / We hold a Beneficiary Account No. **12079800-**_____(BO-ID) with Depository Participant Adwealth Stock Broking Pvt.Ltd. registered with Central Depository Services Limited (CDSL), having DP-ID: 12079800, SEBI registration no. IN-DP-511-2020.

NOW KNOW I / WE ALL, do hereby, jointly and severally give my / our instruction to Adwealth Stock Broking Pvt. Ltd. Stock Broker and Depository Participant, to exercise and perform the following acts, deeds and things as mentioned below:

S. No.	Purpose	Signature of Client
1	Transfer of securities held in my / our beneficial owner account towards Stock Exchange related to deliveries / settlement obligations arising out of trades executed by me / us on the Stock Exchange through Adwealth Stock Broking Pvt. Ltd.	<input checked="" type="checkbox"/> 8 1st Holder-
		<input checked="" type="checkbox"/> 8 2nd Holder-
		<input checked="" type="checkbox"/> 8 3rd Holder-
2	Pledging/re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements in connection with the trades executed by me / us on the Stock Exchange.	<input checked="" type="checkbox"/> 8 1st Holder-
		<input checked="" type="checkbox"/> 8 2nd Holder-
		<input checked="" type="checkbox"/> 8 3rd Holder-
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	<input checked="" type="checkbox"/> 8 1st Holder-
		<input checked="" type="checkbox"/> 8 2nd Holder-
		<input checked="" type="checkbox"/> 8 3rd Holder-
4.	Tendering shares in open offers through Stock Exchange platforms.	<input checked="" type="checkbox"/> 8 1st Holder-
		<input checked="" type="checkbox"/> 8 2nd Holder-
		<input checked="" type="checkbox"/> 8 3rd Holder-

• **The Demat account details of Member where shares can be transferred for above purpose is mentioned below:**

Adwealth Stock Broking Pvt. Ltd, to it's NSE Pool A/C No.10699997/ CM BPID IN519425 With NSDL & 120798000000048 with CDSL, BSE Pool A/C No. 10572303/CM BPID IN662801 with NSDL, BSE Early pay-in A/C No. 1100001000023462 & NSE Early Pay in Account No. 1100001100019547 with CDSL respectively & 10757848 CMBPID IN485058 with NSDL, Margin Pledge A/C (TMCM-CMPA) 1207980000026398 and Repledge in CM Pledge Account 1202060001410161, MTF A/C (TMCM-CMPA) 1207980000035343, TM F&O Pool A/C 120798000031729 and Globe CM Pool A/C 120206000000270, CM E-PAYA/C1100001100014460 With CDSL, SLB Pool A/c No. 1207980000038173 & SLB Early Pay In A/c No. 110000230002194

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUAL**ADWEALTH STOCK BROKING PVT. LTD.**

Diamond Heritage, 16, Strand Road, Fairlie Place,
5th Floor, Unit No. 507, Kolkata-700 001

(To be filled by the Depository Participant)

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

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

I / We request you to open a Demat Account in my / our name as per following details :

HOLDERS DETAILS

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

Name*

Name*		_____																
Name*		_____																

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

TYPE OF ACCOUNT (Please tick whichever is applicable)

STATUS	SUB-STATUS		
<input type="checkbox"/> INDIVIDUAL	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director	<input type="checkbox"/> Individual Director's Relative
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	
	<input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Minor	<input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable	<input type="checkbox"/> NRI-Depository Receipts
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> FOREIGN NATIONAL	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (Specify) _____

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
Consent for Communication to be received by first account holder / All Account holder: (Tick the applicable box. If not marked default option would be first holder .)	
<input type="checkbox"/> First Holder	<input type="checkbox"/> First Holder <input type="checkbox"/> Second Holder <input type="checkbox"/> Third Holder
	Email-ID



NOMINATION FORM FOR DEMAT / TRADING ACCOUNTS Annexure-A (FOR INDIVIDUAL APPLYING SINGLY OR JOINTLY)

Details of TM / DP : **ADWEALTH STOCK BORKING PVT. LTD.** Diamond Heritage, 16, Strand Road, Fairlie Place, 5th Floor, Unit No. 507, Kolkata-700001

Date	D	D	M	M	Y	Y	Y	Y	DP ID								Client ID							
										UCC														

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

Nomination Details

Nominee	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.O.B. of nominee (dd-mm-yyyy)	Guardian
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

Name of nominee(s) Nomination: Yes / No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ___% of assets in the account or Rs. _____. **(Optional)**
(strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

Signature of 9
Sole / 1st Holder _____

Signature of _____
2nd Holder _____

Signature of _____
3rd Holder _____

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / 1st Holder (Mr./Ms.)				
2nd Holder (Mr./Ms.)				
3rd Holder (Mr./Ms.)				

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

***Joint Accounts:**

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

Notes:

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

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

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/0027, dated February 28, 2025
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.

- o 'Either or Survivor' Accounts - any one of the holder can sign
- o 'First holder' Accounts - only First holder can sign
- o 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

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

Declaration Form for opting out of Nomination

Details of TM / DP : To ADWEALTH STOCK BROKING LIMITED Diamond Heritage, 16, Strand Road, 5th Floor Unit No. 507, Kolkata-700 001	Date	D	D	M	M	Y	Y	Y	Y
UCC									
DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
1. _____ 2. _____ 3. _____									
Name: _____									

Witness
Signature: _____
Name: _____
Address: _____

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



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

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange

or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Bye-laws and Regulations and circulars/ notices issued thereunder of the NSE/BSE 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 Bye-laws and Regulations of the NSE/BSE where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the NSE/BSE and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the

maximum brokerage permissible as per the rules, regulations and bye-laws of the NSE/BSE and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity / partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s) / Promoter(s) / Partner(s)/ Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the NSE/BSE and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Bye-laws and Regulations of NSE/BSE where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker 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 Authorised Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorised Person by the stock exchange and/or termination of the agreement with the Authorised Person 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, Authorised Person 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 NSE/BSE where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant

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

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgment of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI / NSE/BSE 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/NSE/BSE. 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/NSE/BSE.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/NSE/BSE and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the NSE/BSE in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of NSE/BSE, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the NSE/BSE, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the NSE/BSE/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of NSE/BSE/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 NSE/BSE/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the NSE/BSE 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 NSE/BSE 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/NSE/BSE 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 NSE/BSE/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 NSE/BSE/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 whatsoever 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/NSE/BSE.



This document contains important information on trading in Equities/Derivatives Segments of the NSE/BSE. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the NSE/BSE.

NSE/BSE/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 NSE/BSE/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 NSE/BSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE/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 NSE/BSE.

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

NSE/BSE 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 NSE/BSE 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 NSE/BSE. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

make it impossible to execute such orders.

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives

contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

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

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

2.1 Effect of “Leverage” or “Gearing”:

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

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

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

due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

- 1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
- 3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

- 1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
- 2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

- 1. If the price movement of the underlying is not in

the anticipated direction, the option writer runs the risks of losing substantial amount.

- 2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
- 3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.



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 NSE/BSE www.exchange.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/NSE/BSE.
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. 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 NSE/BSE' 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 NSE/BSE.

13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts / deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the

Investors Grievance Cell of the NSE/BSE without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the NSE/BSE.
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 NSE/BSE.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; NSE/BSE 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 NSE/BSE within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker’s insolvency or

bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the NSE/BSE 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 NSE/BSE.
19. In case your issue/problem/grievance is not being sorted out by concerned stock 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 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.

A. Refusal of orders for penny stocks

The typical “penny stock” is a very small company with highly illiquid and speculative shares. They trade at a relatively low price and market capitalization. The company’s policy is to classify the following stocks as “penny” stocks

- a. All stocks having current market price upto Rs.10.
- b. All stocks classified as Illiquid Securities as per Exchanges’ circulars from time to time. An order for penny stock trading may be denied
 1. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded.
 2. If trading debarred / banned by any regulatory authority.
 3. If trade pattern is objectionable (also includes frivolous, vexatious and malicious)
 4. If otherwise not permissible under our Risk Management policy / Anti money laundering policy/ any other policy for the time being in force.
 5. If 100% upfront margin is not paid or the securities are not to be delivered in Demat form.
 6. Where circumstances appear to justify such action or on reasonable grounds.

We shall not be held liable for restricting / prohibiting trade in penny stocks at any time. Also the Client shall indemnify us in respect of any loss caused to us by virtue of the Client trading in penny stock.

B. Setting up Client’s Exposure limit

Clients will be granted turnover and exposure limits on the basis of available deposits being sufficient to cover upfront margin requirements.

- a. Deposits to
 - include margins specifically deposited by the clients
 - include what is withheld from settlement obligations as margin on payout.
 - exclude what is ploughed back from margin to meet settlement obligation on payin.
- b. Deposits may be made available in the form of cash, FDR, BG, Margin pledge of securities / other acceptable collaterals.
- c. In case of cheques, they must come from client’s designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- d. Haircuts will be applicable on the non cash component (other than Cash / BG/ FDR) of deposits at rates specified by Exchanges from time to time.
- e. Cash and Non cash component (after haircut) of deposits must be maintained in a specified ratio. Any non cash component in excess of specified proportion of cash component will not be reckoned. This specified ratio will depend upon the Credit Rating of the client from Risk Manager.

In case of derivatives, Clients shall be allowed to trade only upto the applicable client wise position limits set by the Exchanges / Regulators from time to time.

The exposure limits set by ASBPL does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate ASBPL in the event of ASBPL suffering any loss, harm or injury on account of exposure given and / or withdrawn.

C. Applicable brokerage rate

- a. Brokerage on option contracts will be charged on the Premium amount.
- b. Brokerage rates not to exceed 2.5% of the contract price exclusive of statutory levies.

Exclusions:

- In case of options, brokerage shall not exceed higher of 2.5% of premium amount or Rs. 100 per lot.
 - Where sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- c. Brokerage rate will be mutually decided before the onset of trading. Any change in future can only have prospective effect and must be effected in writing.

D. Imposition of Penalty / Delayed Payment Charges

Penalties will be levied on clients for :

- a. A violation by the client of the requirements / stipulations of Exchanges / any Regulatory Authority.
- b. His trading pattern been objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- c. His suspension of information / providing false information.

Further, any penalty / fine / charge imposed on us by Exchanges / any Regulatory Authority shall be fully recoverable from the client and the client will have to bear the same.

Cheque Return Charges will be collected from Clients at actual.

Any relaxation of the penalty on a client will require the Board's specific approval which may grant the same depending on the circumstances on case to case basis. Any such relaxation in a case no way entitles any client to seek relaxation in the same circumstances, either then or in future.

Clients to note: Ignorance of law is no excuse at law.

E. Right to sell clients' securities or close clients' positions, without giving notice to the client

Any failure on part of a client to pay the whole of the margin deposit and/or settlement obligation requirements, within the time permitted by the Rules and Regulations of Exchanges/ Regulatory Authorities, will entitle us to, without any notice to the client :

1. Withdraw trading facility from the client.
2. Square off / close-out all or any part of outstanding positions of client forthwith or any time thereafter, at our discretion, to the extent possible, by placing at the Exchange, counter orders. Such close-out/ square off shall be limited to the extent of client's margin/ settlement obligations.
3. Sale all or any part of client's securities held in CUSA forthwith or any time thereafter at our discretion. Such close out shall be limited to the extent of client's margin / settlement obligations.
4. Invoke Margin Pledge.
5. Invoke BG / FDRs deposited with us.
6. Use other risk containment measures as may be deemed fit and appropriate under the circumstances.
7. Impose penalties / delayed payment charges / other disciplinary action fit and appropriate.

Though it will be our sincere effort to timely notify the client of the shortfall and give him reasonable time to make good the shortfall, this is a not a pre-condition to the exercise of the above rights, and the client should be aware of the timelines of meeting obligations himself.

The Risk Manager will consider the credit risk rating of the client and take all or any of above measures in a manner a man of just and reasonable mind would have done under the circumstances. The action shall be final and binding on the client and any profit / loss shall be borne by the client only.

In case of cheques, they must come from client's designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds. He will be exclusively guided by a risk containment focus and protection of company's interest. Clients are therefore advised to keep sufficient margins well in advance.

We reserve the above right, however, we are not obliged to close clients' positions / sell clients' securities, and it shall be the continued responsibility of the client to make payments towards outstanding dues/ obligations and / or applicable margins to FIFL in time.

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

- a. When a ban of fresh position is in force in any security, no further position is allowed. In case a position has already been inadvertently taken, the existing position may be closed.
- b. In case of non-payment of dues – margin (which includes additional margins as and when levied) and settlement obligations (which includes daily MTM settlement of future contracts, final settlement of future contracts, premium settlement of option contracts, and exercise settlement of option contracts after commission, fees, and/or charges).
 - Margin requirement will be computed on a real-time basis.
 - Initial margin component is required on an upfront basis.
 - Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- c. If we are in close-out mode for any reason / if we are disabled for any reason.
- d. If the trading pattern is objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- e. In case violation of any directive / regulation/ laws / bye-laws of Exchanges / Other Regulatory Authorities will result or have resulted.
- f. Where the client is unable to provide funds / securities in a manner that can be transferred to the exchange immediately for pay-in / margin obligations.
- g. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving / paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities.
- h. On failure to comply with any of the provisions relating to delivery, payment and settlement of deals or any failure to fulfill the terms and conditions subject to which the deal has been made.
- i. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded or has exceeded.

- j. In case of high market volatility, where the current margins of the clients with us does not cover the value at risk of the client.
- k. If otherwise not permissible under our Risk Management policy / Due diligence policy / Anti money laundering policy/ any other policy for the time being in force.
- l. Where circumstances appear to justify such action or on reasonable grounds.
Besides restricting further trades/ closing existing trades, other measures as may be deemed fit may further be taken. Any profit / loss on closing out shall be borne by client only.

G. Internal shortages of securities

If securities are not received in our Pool A/c from the selling client before the pay in date but there is no failure to meet securities obligations towards the Exchange, i.e., there is an instance of internal shortage, the following procedure will be adopted.

1. There will be a buying-in of shares against the selling client through a “deemed auction” for the benefit of buying client. The buying-in shall be from the market and may be with or without the notice of the client.
2. If for any reason whatsoever there couldn't be a buying-in on T+1 day, the shares will be deemed to be closed on T+1 day using the following valuation:

Higher of :

- a. Highest price from the 1st day of the relevant trading period till the date of close out.
- b. Closing price on the auction day (T+1) plus 5%.
The selling client will be debited for “deemed auction” price / “close out” price. In case of close out, the buying client shall be credited for the close-out price.
Any loss of corporate benefit to the buyer of the securities shall be recovered from the defaulting seller's account.

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

A client may give a written request for temporarily suspending/ closing his account. The request for suspension shall be processed within a maximum of 2 working days from the date of receipt of the request provided & closure of account shall be processed within 30 days from the date of receipt of the request provided:

- a. He doesn't owe us any money across all segments / Exchanges on any account.
- b. There are no outstanding / open positions of the client.
During such suspension, the client will not be in a position to trade with us. The suspension may be revoked by a request in writing from the client. This request will be processed within a maximum of 7 working days from the receipt of the request provided:
 - a. He fulfills latest KYC standards applicable then.
 - b. He provides any additional information that may be required by us / Regulatory Authorities then.
 - c. He has not been debarred from trading by any Authority meanwhile.
 - d. His conduct, till date, has been fair, honourable and just.
Notwithstanding any such suspension / closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure / suspension shall continue to subsist and binding on the client.

I. Deregistering a client

Deregistering a client shall mean complete termination of his trading agreement (irrespective of segment / exchange) with us. Once deregistered, a client will not be entertained back for fresh registration for atleast 1 year.

Deregistration can be initiated on client's specific written request provided full and final settlement of all his accounts with us both for funds and securities have been effected.

Deregistration can also be initiated by us in the following situations :

1. He is guilty of breach of terms and conditions of the Member Client Agreement.
2. If he is guilty of contravention, non-compliance, disobedience, disregard or evasion of any of the Bye laws, Rules and Regulations of the Exchange / Clearing Corporation / Other Regulatory Authorities or of any of their Resolutions, Orders, Notices, Discretions, decisions or rulings.
3. If he is guilty of any conduct, proceeding or method of business which is deemed dishonourable, disgraceful or inconsistent with just and equitable principles or detrimental to the interests of Fortune Inter finance Ltd. or prejudicial or subversive to its objects and purposes.
4. His financial condition is found to be unsatisfactory to the extent that he cannot be permitted to do business with safety to ourselves.
5. He is otherwise not incapacitated to deal in securities / derivatives contracts.

Such deregistration shall not affect our rights against such client to recover any dues against him, i.e., our right as a creditor shall remain unaffected. Also the deregistered client shall be bound to fulfill deals and obligations outstanding at the time of his deregistration.

The above Policies and Procedures are subject to change / updation from time to time. The updated Policies and Procedures shall be posted on the website www.fifl.co.in. Clients are requested to refer to the updated Policies and Procedures and abide by the same.



Tariff Sheet

FOR TRADING ACCOUNT

A. BROKERAGE

1. Capital Market Segment

Square up Brokerage
(chargeable for each leg of transaction)

NSE	
%	Min. Paisa
<input type="text"/>	<input type="text"/>

BSE	
%	Min. Paisa
<input type="text"/>	<input type="text"/>

MSE	
%	Min. Paisa
<input type="text"/>	<input type="text"/>

Delivery Brokerage

<input type="text"/>	<input type="text"/>
----------------------	----------------------

<input type="text"/>	<input type="text"/>
----------------------	----------------------

<input type="text"/>	<input type="text"/>
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2. Future & Options Segment

Brokerage in Futures

<input type="text"/>	<input type="text"/>
----------------------	----------------------

<input type="text"/>	<input type="text"/>
----------------------	----------------------

<input type="text"/>	<input type="text"/>
----------------------	----------------------

Brokerage in Options (per lot)

<input type="text"/>

<input type="text"/>

<input type="text"/>

3. Currency Derivative Segment

Brokerage in Futures

<input type="text"/>	<input type="text"/>
----------------------	----------------------

<input type="text"/>	<input type="text"/>
----------------------	----------------------

<input type="text"/>	<input type="text"/>
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Brokerage in Options (per lot)

<input type="text"/>

<input type="text"/>

<input type="text"/>

B. TRANSACTION CHARGES As Applicable

C. OTHER CHARGES As Applicable

Date : _____

15 _____
(Signature of Client)



Charges for Depository Services (Schedule 'A')

Schedule of charges forms an integral part of the DP - Client Agreement

Sr. #	Depositories	CDSL				
		<input type="checkbox"/> Scheme A	<input type="checkbox"/> Scheme B	<input type="checkbox"/> Scheme C	<input type="checkbox"/> Scheme BSDA	
					For holding value <=4L	For holding value >4L & <10L
1	Account Opening / Closing	NIL				
2	Annual Maintenance	₹ 500/- P.A.	₹ 200/- P.A.	₹ 1500/- (for lifetime)	NIL	₹ 100/- P.A.
3	Debit from Account (Payin with Adwealth)	NIL	₹ 15/-	₹ 10/-	₹ 15/-	₹ 15/-
4	Off Market / Inter Depository Charges	₹ 10/-	₹ 15/-	₹ 15/-	₹ 15/-	₹ 15/-
5	Dematerialisation	₹ 2/- per certificate + ₹ 50/- as courier charges				
6	Dematerialisation Rejection	₹ 50/- per rejection				
7	Rematerialisation	₹ 15/- per certificate + CDSL / NSDL Charges				
8	Rematerialisation Rejection	₹ 50/- per rejection				
9	Pledge Creation	0.02% of the Value (Min. ₹50/- per Transaction)				
10	Pledge Closure / Confirmation / Unpledge	0.02% of the Value (Min. ₹50/- per Transaction)				
11	Freeze / De-freeze	₹ 25/-				
12	Holding / Transaction Statement Charges	₹ 20/- (for Extra Statement)				

FOR DEMAT ACCOUNT

Notes

1. Cheque/Demand Draft should be in favor of "Adwealth Stock Broking Pvt. Ltd.
2. Adwealth Stock Broking Pvt. Ltd. reserves the right to change the above tariff by providing 30 days written notice and this will be binding on all.
3. Clients must ensure that their name, Client/BO ID and Bill number is written behind every cheque/Demand Draft deposited by them.
4. Service Tax as applicable would be levied on the above charges.
5. In case of any debit balance in Client's name existing with the Company, DP is authorised to refuse to accept any type of instruction relating to transfer of shares/commodities from client's account, till the clearance of such dues.
6. ₹250/- + bank charges will be levied for any cheque dishonour, per instance.
7. AMC Charges will be applicable on annual basis.
8. Franking/Stamp charges will be applicable extra.
9. Extra account maintenance charges for Corporate Account ₹500/- p.a. with scheme applied.
10. The Client agrees to pay the charges as set out herein above subject to any change therein from time to time and specifically authorises DP to debit all type of dues/charges as set out herein above to client's Trading Account Code _____ having with Adwealth in NSE and/or BSE Segment.

I / We accept the above scheme SCHEME A SCHEME B SCHEME C SCHEME BSDA

16

Signature of Sole / 1st Holder



Signature of 2nd Holder



Signature of 3rd Holder



General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners

and/or DP's own securities held in dematerialized form.

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The Stock Broker/Stock Broker and Depository Participant shall not directly/indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

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

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall

have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

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

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance


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


Authorized representative


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

Law and Jurisdiction

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/her account, that may be in force from time to time.
29. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
31. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

 17
 Signature of Sole / 1st Holder

 _____
 Signature of 2nd Holder

 _____
 Signature of 3rd Holder



ECN MANDATE

NON MANDATORY

MANDATE TO ISSUE CONTRACT NOTES, DAILY MARGIN STATEMENT AND QUARTERLY STATEMENT IN ELECTRONIC FORMAT (Required if client opts for ECN & Compulsory for Currency Segment)

To

M/s. Adwealth Stock Broking Pvt. Ltd.

Diamond Heritage, 16 Strand Road, Fairlie Place
5th Floor, Unit No. 507, Kolkata-700 001

Date : _____

Dear Sir,

I/We hereby agree and consent to accept the contract notes, daily margin statement and the quarterly statements of funds and securities (herein after referred to as quarterly statements) issued by you electronically in accordance with the terms and conditions specified herein below and the same shall be binding on me/us. I/We also undertake to check and bring the discrepancies to your notice within 48 hours of such issuance of contract notes, daily margin statement and within 30 days in case of quarterly statement. Further my/our non verification or not accessing the Contract Notes, daily margin statement and quarterly statement on regular basis shall not be a reason of dispute at any time. This instruction to issue digital contract notes, daily margin statement & quarterly statements is applicable with immediate effect.

The mandate is subject to terms and conditions mentioned herein below :

Yours faithfully,

 18 _____
Client's Signature

E-mail Id: _____

Client Name _____

Tel. No. _____

PAN No. : _____

Mobile _____

Terms and conditions :

Terms and conditions for availing the facility of the electronic Contract Notes, Daily margin statement & Quarterly statements digitally signed are as follows.

1. The Client will ensure availability of the above mentioned e-mail ID at all times.
2. That the non-receipt of bounced e-mail notification by ASBPL once ECNs / Quarterly statement / Margin statement are sent to Client's above-mentioned e-mail ID can be safely taken of having been received.
3. The Client shall update for any change in e-mail ID through a duly executed physical letter.
4. The Contract Notes, Daily margin statement & Quarterly statements will be issued in electronic form in compliance with the guidelines issued by SEBI / Exchange from time to time.
5. Electronic Contract Notes, Daily margin statement & Quarterly statements will also be available on URL <https://www.adwealthgroup.com>
6. Clients can view the electronic Contract Notes, Daily margin statement & Quarterly statements on URL by using the username & Password.
7. Electronic Contract Notes will be archived at an interval of 15 days. If the client intends to view the electronic Contract Notes for a period prior to 15 days, client may request for the same in writing.
8. In case of any failure in system or errors in electronic Contract Notes, daily margin statement and quarterly statements, will be issued in physical form, which shall be binding on the client.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Discrepancies if any shall be sent by the client in physical form or on the e-mail ID : ig@adwealthgroup.com



DECLARATION (if Internet Trading is required)

NON MANDATORY

To
ADWEALTH STOCK BROKING PVT. LTD.
Diamond Heritage, 16 Strand Road, Fairlie Place
5th Floor, Unit No. 507, Kolkata-700 001

Sub :- Internet Trading

I/We wish to trade through internet in various segments of NSE/BSE and confirm that I am / we are fully aware of and understands the risk associated with availing of a service of routing orders through internet including the risk of misuse and unauthorized use of my/our Username and/or Password by a third party and the risk of a person hacking into our account on your ITORS system and unauthorized routing order on behalf of us through the system. I/we agree that we shall be fully liable and responsible for any and all unauthorized use and misuse of my/our Password and /or Username and also for any and all acts done by any person through your ITORS system on our Username in any manner whatsoever.

I/We hereby confirm you to send our Username and Password on the below mentioned e-mail address.

Email Address : _____

The non receipt of bounced email notification by you shall not be construed as a ground for dispute in the future.

Thanks and best regard

Signature 19 _____

Name _____

Trading Code _____

Mobile No:- _____

MANDATE FOR AUTHORIZED REPRESENTATIVE

NON MANDATORY

I am / We are having a trading account bearing client code _____ with Adwealth Stock Broking Pvt. Ltd. do hereby authorize Mr. _____, being my/our _____ R/o _____ herein after referred to as authorized representative whose signature is given below, to trade on my/ our behalf and I / we further accept that all obligations arising out of trades executed by such person will be met by me/us. Further, I / We authorize you to accept all instructions, from such person pertaining to settlement of transactions in my/our account.

I/We also undertake to indemnify Adwealth Stock Broking Pvt. Ltd. for all dues, penalties, and incidental expenses relating to, and arising out of and in connection with transactions pertaining to trading account no. _____ with Adwealth Stock Broking Pvt. Ltd. and operated by my/our authorized representative Mr / Mrs. _____.

Place :.....

Date :.....

(Signature of Mandate Holder) Attested

20 _____
(Signature of client)

Note: In case the client does not sign this mandate, orders, instructions and payment / transfer advises shall not be accepted in the client account from the person (s) other than the client.



I/We have entered into a Member Client Agreement with you for dealing in Cash, F&O and Currency Segment of National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE).

I / We hereby declare the following:

- I am / We are a regular investor in the stock markets in India. I am / We are conversant with the laws, practices, rules, regulations, guidelines, circulars, etc. prescribed by the Securities and Exchange Board of India (SEBI) and the Exchanges.
- I / We will not receive or give any monies in cash or in kind for completing the settlement obligation to the Exchanges.
- I / We am aware of the illegal practices which are prevalent in the securities market.
- I / We will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading.
- I / We will not place any order on the exchanges, which will reflect as an arrangement for profit or loss transactions. All the orders placed on the exchange will be in the normal market where there is corresponding underlying Shares/Securities positions in the Cash and F&O segment of the respective Exchange.
- I / We will not introduce any kind of money acquired illegally in the financial system.
- I / We will submit the necessary documents / information required under the PMLA and/ or any other statute.
- I am / We are aware of the following provisions of laws applicable to the Shares/Securities Market :
 - A) Section 11 of the SEBI Act, 1992 read with 11B inter alia prescribed that :
 - i) 11(4) Without prejudice to the provisions contained in sub-section (1) (2) (2A) and (3) of 11 B, the Board may, by order for reasons to be recorded in writing, in the interest of investors of Shares/Securities market, take any of the following measures, either pending investigation or inquiry or on completions of such investigation or inquiry, namely:
 - ii) restrain person from accessing the Shares/Securities market and prohibit any person associated with Shares/Securities market to buy, sell or deal in Shares/Securities.
 - B) Section 4 Prohibition of manipulative, fraudulent and unfair trade practices
 - i) Without prejudice to the provisions of regulation 3, no person shall indulge in a fraudulent or an unfair trade practices in Shares/Securities.
 - ii) Dealings in Shares/Securities shall be deemed to be a fraudulent or an unfair trade practices if it involves fraud and may include all or any of the following namely:
 - a) indulging in an act which creates false or misleading appearance of trading in the Shares/Securities market;
 - b) dealing in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss;
 - c) advancing or agreeing to advance any money to any person thereby inducing any other person to offer to buy any security in any issue only with the intention of securing the minimum subscription to such issue;
 - d) paying, offering or agreeing to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;
 - e) any act or omission amounting to manipulation of the price of a security;
 - f) publishing or causing to publish or reporting or causing to report by any person dealing in Shares/Securities any information which is not true or which he does not believe to be true prior to or in the course of dealing in Shares/Securities;
 - g) entering into a transaction in Shares/Securities without intention of performing it or without intention of change of ownership of such security;
 - h) selling, dealing or pledging of stolen or counterfeit security whether in physical or dematerialized form;
 - i) an intermediary promising a certain price in respect of buying or selling of a security to a client and waiting till a discrepancy arises in the price of such security and retaining the difference in prices as profit for him/herself;
 - j) an intermediary providing his clients with such information relating to a security as cannot be verified by the clients before their dealing in such security; viding his clients with such information relating to a security as cannot be verified by the clients before their dealing in such security;
 - k) an advertisement that is misleading or that contains information in a distorted manner and which may influence the decision of the investors;

- l) an intermediary reporting trading transactions to his clients entered into on their behalf in an inflated manner in order to increase his commission and brokerage;
- m) an intermediary not disclosing to his client transactions interceded into on his behalf including taking an option position;
- n) circular transactions in respect of a security entered into between intermediaries in order to increase commission to provide a false appearance of trading in such security or to inflate or depress or cause fluctuation in the price of such security;
- o) encouraging the clients by an intermediary to dealing in Shares/Securities solely with the object of enhancing his brokerage or commission;
- p) an intermediary predating or otherwise falsifying records such as contract notes;
- q) an intermediary buying and selling Shares/Securities in advance of a substantial client order or whereby a future or option position is taken about an impending transaction in same or related futures or options contract;
- r) planting false or misleading news which may induce sale or purchase of Shares/Securities.

I / We hereby declare that I / We will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons/entities. In the event of any of the above fraudulent or unfair trade practices is noticed by the Exchange or regulatory authorities, then I/we shall be solely responsible for acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the Cash and F&O segment of the exchanges.

I / We hereby give this declaration to you without any coercion, with sound mind and voluntarily which shall be a part of my Client Registration form and Member Client Agreement executed.

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AUTHORIZATIONS

NON MANDATORY

I/We further authorize Adwealth Stock Broking Pvt. Ltd. here as under :

1. I/We hereby authorize ASBPL to hold the shares against my/our purchases for future delivery/margin for my/our transactions with ASBPL.
2. I/We hereby also authorize ASBPL to deliver these shares against my/our subsequent sales in subsequent settlements.
3. I/We agree to abide by client level position limit and authorize you not to increase my/our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize you to debit my/our for any penalty imposed on you for my/our violation towards position limit or for not reporting open position to the relevant Exchange(s) where ever required by me/us.
4. I/We hereby authorize you to accept my/our authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/we shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under my/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.
5. I/We do not require any Trade Confirmation slip generated by system. ASBPL is therefore, requested not to generate the same for me/us. Only the contract notes in the prescribed form may please be sent to me/us at the appropriate time in appropriate manner.
6. I/We also hereby authorize ASBPL with whom both the beneficiary demat account and trading account for investment & trading purpose is operated, to debit the trading account for any charges payable to ASBPL as Depository Participant for providing Depository Services. Any such amount debited to my/our account shall be binding on me/us.
7. I/We hereby authorise ASBPL to meet the Pay-in / Pay-out obligations arising at NSE, BSE and MSE without transferring the same to my/our Demat Account as and when such inter exchange obligations arise in the Security(ies)/ Contract(s) traded by me/us across Exchanges.

 22

(Client's Signature)

(Please strike off the non-acceptable clause(s))



UNDERTAKINGS

NON MANDATORY

I/We hereby further undertake in favor of Adwealth Stock Broking Pvt. Ltd. here as under :

1. I/We shall extend all co-operation to ASBPL in their endeavor towards Anti-Money Laundering. ASBPL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them. I/We understand that information about me/us and my/our transactions may be reported by ASBPL to FIU and / or concerned authorities without any intimation to me/us and have no objection to the same.
2. I/We hereby declare that I/we do not have any link directly or indirectly with promoter of any of the companies as far as these transactions are concerned. Also I/we do not have any involvement, whatsoever, with regards to the increase or decrease in the price of shares dealt by me/us.
3. I/We undertake that if the shares purchased by me/us are transferred to hold back account with you, the same shall be released to my DP Account only on my/our written request.
4. I/We undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into on my/our account or in relation to any Stock Exchange matter, I/We shall be bound to refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the SEBI and/or exchange(s) which are applicable to me/us.
5. I/We hereby agree that if I/we fail to make payment of consideration to you in respect of any one or more securities purchased by me/us, before the pay in date, notified by Exchange from time to time, then you shall be at liberty to sell the securities received in pay-out at any time or exchange not later than fifth trading day reckoned from date of pay in.
6. I/We further agree that if I/we fail to deliver any one or more securities to your pool account in respect of securities sold by me/us before pay in date notified by Exchange from time to time. Such undisputed obligation in relation to securities shall be deemed to have been closed out at auction price or close out price.
7. I/We undertake that I/we shall not hold ASBPL, its Directors or Officers towards my/our acceptance of any lucrative offer of fixed return on investment made by any of their representative (verbal/ written) without the knowledge of the Company and the onus to bring the same to the notice of the Company lies with me/us.
8. It shall be my/our responsibility to check the data provided through SMS Alert Service with the actual Contract Notes/Financial Ledgers given by ASBPL. The messages flashed shall be merely reminders for my/our convenience and I/we agree not to hold you liable for any incompleteness/inaccuracy in the messages sent and that I/we shall take all my/our actions based on the normal confirmation received by me/us. I/we agree to inform you of any changes in the mobile number on which the updates are required.
9. I/We do hereby confirm that the extra levy of Rs. 20/- on the physical issuance of contract note shall not construe as a matter of dispute in the future.
10. I/We do hereby confirm that I/we shall not deposit any third party cheque towards meeting my/our obligation for the trades executed by me/us and hence shall not hold ASBPL against any such credit.

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(Client's Signature) (Please strike off the non-acceptable clause(s))

DECLARATION

NON MANDATORY

I/we wish to state that I/we have understood the changes brought in by SEBI through Securities and Exchange Board of India (Stock Brokers) Amendments Regulations, 2003 by its Notification in the Official Gazette as on 23d September, 2003 read with NSE's circular no. 379 dated 26th December, 2003 and BSE's circular no.20040114-18 dated 14th Jan, 2004 and I do hereby declare and undertake that :

- a) I am an / We are investor/s and would not do any sub-broking business for shares and stock and undertake not to do any act or business which would amount to sub-broking of shares and securities
- b) The delivery of Securities and the payment of funds relating to the transactions shall be directly between ASBPL and me/us.
- c) I/We assure to make all delivery of shares sold by me/us to ASBPL from my own depository account only and not from the depository account(s) of any of my relatives, friends, associates or any third party's depository account(s) under any circumstances.
- d) I/We shall not issue contracts nor bills nor any confirmation memo for shares and securities in my/our own name
- e) I/We undertake to abide by the Rules and Regulations of SEBI/NSE/BSE and other relevant authorities and any modification/amendment thereof and in case any discrepancies / irregularities are found, ASBPL reserves the right to stop doing business with me without assigning or explaining any reasons thereto

 24

(Client's Signature)



Date:

To
M/s. Adwealth Stock Broking Pvt. Ltd.
 Diamond Heritage, 16 Strand Road, Fairlie Place
 5th Floor, Unit No. 507, Kolkata-700 001

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. As required by SEBI circular my/ our funds at EOD shall be upstream to CC/CM on daily basis. Further, any request made for release of funds shall be proceed within same day if request is made by 2 P.M, and on the next trading day if request is received after 2 P.M.
2. I/we understand and agree that no interest will be payable to me/us on the funds so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize **Adwealth Stock Broking Pvt. Ltd.** to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. Excess margins deposited towards one exchange / segment may be adjusted, on a running basis towards margin requirement / debit balance in same / other exchange / segment, where I/we have the client account.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I / we hereby authorize you to deposit my / our funds deposited as margin to exchange / Clearing Corporation.
7. I/we may revoke the authorisation at any time by giving a written notice.
8. I/we also agree that the actual settlement of fund shall be done by us, at least once in a quarter or month, as preference given below and the statement of account for the same will be provided to me by **Adwealth Stock Broking Pvt. Ltd.**
9. "I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit / collateral."
10. I/we agree that (a) in respect of derivatives market transactions, the Trading member may retain funds calculated in the manner specified below:
 - i) Entire pay-in obligation of funds outstanding at the end of day on date of settlement, across all segments.
 - ii) Member may retain 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/ MTM.
 - 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.
11. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
12. I/we shall bring any dispute arising from the statement of account or settlement so made to the Notice of the Trading Member preferably **within 30 working** days from the date of receipt of funds statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS)

Settlement Preferences	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
------------------------	----------------------------------	------------------------------------

Signature of the Client 25 _____

घोषणा

मैं..... यह घोषणा करता/करती हूँ कि मैंने एडवेल्थ स्टॉक ब्रोकिंग प्रा. लि. में अपना ट्रेडिंग खाता खोला है। उसके लिए एकाउन्ट ओपनिंग फार्म और विभिन्न कागजात पर हस्ताक्षर किया है जोकि अंग्रेजी भाषा में है। मुझे इसका हिन्दी/मातृभाषा में मतलब समझा दिया गया है। मैं एडवेल्थ स्टॉक ब्रोकिंग प्रा. लि. के नियम व शर्तों से सहमत हूँ।

* _____हस्ताक्षर

**DEPOSIT OF SECURITIES/FUNDS TOWARDS MARGIN****NON MANDATORY**

To

Date :

M/s. Adwealth Stock Broking Pvt. Ltd.

Diamond Heritage, 16 Strand Road, Fairlie Place

5th Floor, Unit No. 507, Kolkata-700 001

Dear Sir,

I/We understand that the Member accepts deposit of securities towards "Margin" for the purpose of allowing additional exposure/turnover as a specialized service which is optional in nature and this document has been signed by me/us voluntarily without any coercion or force. I/We also understand that I/We have a right to terminate this facility and/or review of Member-Client relation by Member.

I/We request and authorize you to consider the security transferred by me/us or retained by you in any of your own DP account maintained for the purpose of margin in my/our DP account No. _____ with _____ (Name of DP) with the Power of Attorney executed in favour of the DP, at your discretion, as margin deposit for my/our operations in the secondary market.

In respect of the above margins, I/We also undertake and agree to the following:

1. I /We shall pay initial margin as specified by NSE/BSE/SEBI before placing any order. Adwealth Stock Broking Pvt. Ltd. (ASBPL) will have all the rights not to execute the order if I/We fail to place the required initial margin with them
2. that the above margins are subject to the first and paramount lien for any sum due to ASBPL by me/us for the due fulfillment of my/our engagements, obligations and liabilities arising out of or relating or incidental to any bargains, dealings, transactions and contract made through or with you. I/We further agree that I/we shall create lien on the shares and securities lying in my/our DP account towards any sum which is due to you
3. that the margin paid above shall be available for adjustment against any amount due from me/us to ASBPL, against my/our trading account with you for the secondary market obligations
4. that no interest will be paid by ASBPL to me against the margin deposit. However, in case of securities transferred by me/us to your DP A/c as margin, all benefits declared by the Companies, during the time the securities are held by ASBPL towards margin deposit, shall accrue to me/us
5. that ASBPL has a clear and undisputed right to dispose of the margin securities and adjust the proceeds or the cash margin provided towards overdue balances in my/our account, at my risk and cost, without any need for clearance or reference to me/us whatsoever
6. I/we shall when called upon to do so, provide additional margin money to ASBPL as required by them or Stock Exchange in respect of positions taken by me/us

Further, I/we have transferred the following funds to your account towards margin deposit for my/our operation in the secondary market:

Deposit of funds (For funds in-warded as Margin)

Date	Cheque No.	Amount Rs.	Drawn on	Remarks

Your Sincerely,

26

Client's Signature

ANNEXURE -2.5

Option form for Issue of DIS Booklet

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

DP ID										Client ID								
First Holder Name																		
Second Holder Name																		
Third Holder Name																		

To,
M/s. ADWEALTH STOCK BROKING PVT. LTD.
Diamond Heritage, 16 Strand Road,
5th Floor, Unit No. 507, Kolkata-700 001


Dear Sir / Madam,

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

OPTION 1:

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

Yours faithfully


	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 27a		

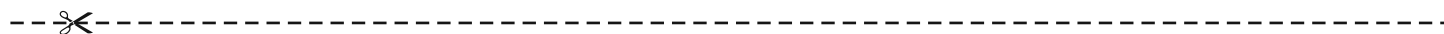
OR

OPTION 2:

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 27b		



Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON-ISSUE OF DIS BOOKLET from:

DP ID										Client ID								
First Holder Name																		
Second Holder Name																		
Third Holder Name																		

M/s. ADWEALTH STOCK BROKING PVT. LTD.



Mobile & E-mail ID Declaration

Adwealth Stock Broking Pvt. Ltd.

Member: NSE • BSE | DP: CDSL

DECLARATION FOR MOBILE NUMBER

I _____ having PAN _____ do hereby declare that my mobile number is _____ & my e-mail ID is _____.

Further, I authorize Adwealth Stock Broking Private Limited that the same may be used for giving me any information/alert/SMS.

I further declare the above mentioned statement is true and correct.

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Client Signature _____

PAN No. - _____

Date: _____

Family Declaration Form

To,
M/s. Adwealth Stock Broking Pvt. Ltd.
 Diamond Heritage, 16 Strand Road, 5th Floor, Unit No. 507, Kolkata-700 001

Dear Sir/Madam,

Date:

Subject: i) Details of mobile number and email-id. ii) Family Declaration

I and my family members hereby request that mobile number _____ and email id bearing _____ belonging to undersigned shall be considered in your records for the purpose of receiving communication from you or Stock Exchanges with regard to details of trading transactions executed through you.

Thus, any communication relating to our trading and demat account should be sent to the above mentioned mobile number and e-mail id. This facility shall be executed to us as an exception, for our convenience of receiving transaction details at a single mobile number and e-mail id. I understand that for the purpose of availing the above facility "family" means self, spouse, dependent children and dependent parents.

Further, I hereby disclose that the following are my family members having an account with Adwealth Stock Broking Pvt. Ltd.. Details of their name together with their client code is provided hereunder :


Sl. No.	Client Name	Client Code / Client ID	Relationship with Undersigned	Signature
1				
2				
3				
4				

(If family members are more than four, kindly provide details in separate sheet.) The above details shall be deemed valid till any change is requested under the modification process.

Client Code / Client ID	Name	Signature
		29


FORMAT OF REQUEST

(Please tick (4) wherever applicable)

DP ID		Client ID		Date	
Name of Account Holder					
<input type="checkbox"/> Name of Account Holder					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me/ or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Account Holder			 29a		
Name of Account Holder					


FORMAT OF REQUEST

(Please tick (4) wherever applicable)

DP ID		Client ID		Date	
Name of Account Holder					
<input type="checkbox"/> Name of Account Holder					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me/ or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Account Holder			 29b		
Name of Account Holder					

FORMAT OF REQUEST

(Please tick (4) wherever applicable)

DP ID		Client ID		Date	
Name of Account Holder					
<input type="checkbox"/> Name of Account Holder					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me/ or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Account Holder			 29c		
Name of Account Holder					

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**Definitions:**

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

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

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's

service area or within the range forming part of the roaming network of the service provider.

4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error,

omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO**

may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Annexure - A

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:


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





MOST IMPORTANT TERMS AND CONDITIONS (MITC)
(For non-custodial settled trading accounts)

Name	
------	--

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 payin.
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 a 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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Signature of Sole / 1st Holder

 _____
Signature of 2nd Holder

 _____
Signature of 3rd Holder



POLICY ON GOOD TILL CANCELLED / GOOD TILL TRIGGERED ORDERS

Circular: - Ref. NSE/INSP/62528 dated June 21,2024

Name	
------	--

Background

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

Details of Good Till Cancelled/Good Till Triggered/orders

- The Policy is MANDATORY in nature and forms a part and parcel of the Mandatory Policies envisaged in the "Account Opening Form" of Adwealth Stock Broking Pvt Ltd, while registering and/or re-activating Clients. The applicability of this Mandatory Policy spans across all Non-Institutional Clients of Adwealth Stock Broking Pvt Ltd.
- The Risk Management Department of Adwealth Stock Broking Pvt Ltd shall be responsible to monitor "Good Till Cancelled and/or Good Till Triggered Orders and/or Similar Types of Orders of Client(s)" (in short "such Orders"), which would remain "valid" on attributes of "price" and also the "time frame" on the Trading Platform of Adwealth Stock Broking Pvt Ltd Company
- At the outset it is important to mention that the "GTC and/or GTT and/or Similar Types of Orders" of Client(s) can be placed on the Trading Platform of Adwealth Stock Broking Pvt Ltd provided the applicable un-encumbered Collateral (as mandated by the Clearing Corporation) is made available by the Clients to Adwealth Stock Broking Pvt Ltd.
- As "un-executed" "GTC and/or GTT and/or Similar Types of Orders" of Client(s) are Non Importable onto the BackOffice, it is for the benefit of the Client to Notify the Risk Management Department of Adwealth Stock Broking Pvt Ltd by an email communication to [avonmanagement\(S\)gmail.com](mailto:avonmanagement(S)gmail.com) regarding the un-executed / pendency of execution of "GTC and/or GTT and/or Similar Types of Orders", by the Client from their registered e-mail id with details of Trades along with their Unique Client Code.
- The Client will be duty bound to monitor its "GTC and/or GTT and/or Similar Types of Orders" and maintain the requisite Collateral in Cash and/or Acceptable Security in the stipulated ratio, to ensure that the "GTC and/or GTT and/or Similar Types of Orders" are backed by requisite Collateral to remain Valid in the Trading Platform of Adwealth Stock Broking Pvt Ltd.
- As "GTC and/or GTT and/or Similar Types of Orders", attract applicable Collateral as per the norms laid by the Clearing Corporation and Allocation of applicable Cash Collateral by the Trading Member from its OWN Funds (if applicable Cash Collateral is NOT provided by the Client), as per the extant minimum Cash Collateral requirement enshrined by the Clearing Corporation. Though Adwealth Stock Broking Pvt Ltd would endeavour to provide the applicable Cash Collateral from its OWN Funds on Best Effort Basis, however the Client cannot claim the placement of "GTC and/or GTT and/or Similar Types of Orders" and the continuation of the validity of such Orders on a concurrent basis, without providing the requisite applicable Cash Collateral to Adwealth Stock Broking Pvt Ltd.
- In the event that a request for release of Collateral (both Cash and/or Security) is placed by the Client to Adwealth Stock Broking Pvt Ltd during the Trading Hours (i.e. 9:00 AM to 4:00 PM), the Risk Management Desk would process the same taking into account the pending "GTC and/or GTT and/or Similar Types of Orders".
- In the event that a request for release of Collateral (both Cash and/or Security) is placed by the Client to Adwealth Stock Broking Pvt Ltd during the Non - Trading Hours (i.e. other than the timings mentioned herein above), the Risk Management Desk would process the same without taking into account the pending "GTC and/or GTT and/or Similar Types of Orders", which may lead the Cancellation and/or Rejection of the "GTC and/or GTT and/or Similar Types of Orders" in the Trading Platform of Adwealth Stock Broking Pvt Ltd.
- It is pertinent to mention that Adwealth Stock Broking Pvt Ltd would be unable to intimate the Client regarding the Cancellation and/or Rejection of the "GTC and/or GTT and/or Similar Types of Orders" in the Trading Platform of Adwealth Stock Broking Pvt Ltd attributed to the non-maintenance of the requisite Collateral by the Client.
- The Client shall NOT hold SMIS Limited responsible for the Non-Execution of GTC and/or GTT and/or Similar Types of Orders attributed for non-maintenance of requisite Collateral in the stipulated ratio, at the Client Level. It is pertinent to mention that the Client shall NOT claim any prospective notional "losses and/or compensation", for the Non Execution of "GTC and/or GTT and/or Similar Types of Orders".
- The Risk Management Department of Adwealth Stock Broking Pvt Ltd will monitor the announcement of "Corporate Actions" (both Cash Corporate Action and/or Non-Cash Corporate Action) in respect of the Underlying Security for all the Open "GTC and/or GTT and/or Similar Types of Orders" of Client(s) on a Daily Basis.

- Adwealth Stock Broking Pvt Ltd shall intimate their clients about details of upcoming Corporate Actions applicable for such unexecuted "GTC and/or GTT and/or Similar Types of Orders" of Client(s), which should not be later than one day prior to the exdate of the Corporate Action.
- The Clients are duty bound to monitor the "GTC and/or GTT and/or Similar Types of Orders" placed on the Trading Platform of Adwealth Stock Broking Pvt Ltd and the announcement of Corporate Actions by the underlying Security Issuer. The Client is also duty bound to follow the intimation by Adwealth Stock Broking Pvt Ltd to their Client(s) over E-Mail at their Registered Email address (es) and/or Short Messaging Services on their Registered Contact Number(s).
- Adwealth Stock Broking Pvt Ltd will NOT ALLOW CONTINUATION of "GTC and/or GTT and/or Similar Types of Orders" of Client(s) in an automated manner where "Corporate Actions" (both Cash Corporate Action and/or Non-Cash Corporate Action) are being caused by way of Book Closure and/or Record Date by the Registrar of the Issuer on the Stock Exchange.
- The Clients are free to MODIFY the "GTC and/or GTT and/or Similar Types of Orders" of Client(s) where "Corporate Actions" (both Cash Corporate Action and/or Non-Cash Corporate Action) are being caused by way of Book Closure and/or Record Date by the Registrar of the Issuer on the Stock Exchange, before the Ex-Date of the Underlying Security.
- In case the Client(s) fail to modify the "GTC and/or GTT and/or Similar Types of Orders" before the ex-date as announced by the Stock Exchanges, the Risk Management Department of Adwealth Stock Broking Pvt Ltd would CANCEL the pending "GTC and/or GTT" Orders and/or Similar Types of Orders of Client(s) where "Corporate Actions" (both Cash Corporate Action and/or Non-Cash Corporate Action) are being caused by way of Book Closure and/or Record Date by the Registrar of the Issuer on the Stock Exchange, which are open/ un-executed on the Trading Platform of Adwealth Stock Broking Pvt Ltd, on a best effort basis.
- The Risk Management Desk of Adwealth Stock Broking Pvt Ltd would intimate the Clients, regarding the cancellation of the "GTC and/or GTT" Orders and/or Similar Types of Orders, by an E-Mail to their registered E-Mail Id, by T+1 day from the date of Cancellation of such "GTC and/or GTT and/or Similar Types of Orders".
- Adwealth Stock Broking Pvt Ltd would follow the Corporate Actions which are made available by the Stock Exchanges on their official Website(s), viz. www.nseindia.com & www.bseindia.com and the Ex-Dates pertaining to cause of Corporate Action in way of Record Date and/or Book Closure announced in such official websites and/or the data files provided by the Stock Exchanges to their Trading Members for updation of scrip master on the Trading Platform of Trading Members.
- Clients who wish to Notify Adwealth Stock Broking Pvt Ltd for the "Stop Trade Facility" as per SEBI vide Circular no. SEBI/HO/MIRSD/POD-I/P/CIR/2024/4 dated January 12, 2024, the Client is Duty Bound to specifically Notify the placement of "GTC and/or GTT and/or Similar Types of Orders" for cancellation of such Orders.

Policy Communication

The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good Till Cancelled Orders of Client" of Policy and Procedures document and shall also be displayed on the company's website.

The Client agrees to abide by this "MANDATORY POLICY" on Handling of Good Till Cancelled and/or Good Till Triggered Orders and/or Similar Types of Orders offered by Adwealth Stock Broking Pvt Ltd to its Clients and the Client(s) would NOT claim any Monetary Losses and/or Compensation, for the adherence of the above attributes laid in "the Policy", by Adwealth Stock Broking Pvt Ltd.

Change in the Policy will be adopted as and when required by the company and is binding on all the Staff / Employees /and Directors of the Company.

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Signature of Sole / 1st Holder



Signature of 2nd Holder



Signature of 3rd Holder



POLICY ON FREEZING / BLOCKING CLIENT ACCOUNT

- Background:** SEBI vide circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and NSE Circular no NSE/INSP/61529 Dated April 08, 2024 regarding Framework for Trading Members to provide the facility of voluntary freezing/blocking of online access of the trading account to their clients.

It is pertinent to mention that:

- Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.
 - The request for freezing/ blocking does not constitute request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records
- In view of the above the company has framed the following policy governing the outline of the modus operandi. In addition to branch trading the company is extending the facility of internet trading through browser based and EXE based followed by mobile trading. Presently we will be providing the following method of communications through which the client may request for voluntary freezing/ blocking of the online access of trading account if any suspicious activity is observed in the trading account:

- Email from registered e-mail ID:* A dedicated email ID stoptrade@adwealthgroup.com has been opened where client can send their request for freezing/ blocking from their email ID registered with us. Clients are requested to send their freezing/ blocking request without any ambiguity along with UCC. Similarly for un-freezing/ un-blocking, clients are requested to send their request at the email ID stoptrade@adwealthgroup.com from their registered email ID mentioning the same. Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered email ID or sent to any other email ID of the company.
- SMS from registered mobile number:* A dedicated mobile number 9830036205 has been assigned where client can send their request for freezing/ blocking from their mobile number registered with us. Clients are requested to send their freezing/ blocking request in the following manner:
 - For freezing/ blocking type: "**BLOCK" FOLLOWED BY UCC WITHOUT SPACE** Example: if your UCC is A123 then message will be "**BLOCKA123**" and send it to 9830036205.
 - For un-freezing/ un-blocking type: "**UNBLOCK FOLLOWED BY UCC WITHOUT SPACE**" Example: if your UCC is W114X100 then message will be "**UNBLOCKW114X100**" and send it to 9830036205.

Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered mobile number or sent to any other mobile number of the company.

- The company shall take the following actions on the receipt of such request through any modes of communications for freezing/blocking of the online access of the trading account from the client:
 - Verify whether request is received from the registered mobile number/e-mail ID of the client;
 - Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
 - Issue the acknowledgement to the registered email ID or mobile number of the client stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
 - Details of open positions (if any) would also be communicated to registered email ID of the client along with contract expiry information within one hour from the freezing/blocking of the trading account. · The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

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

- The company shall maintain the appropriate records/logs including request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, and sent them to the clients for the time limit as prescribed by the Regulator.
- Re-enabling the client for online access of the trading account: - The Trading Member shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

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Signature of Sole / 1st Holder

Signature of 2nd Holder

Signature of 3rd Holder



ADWEALTH STOCK BROKING PRIVATE LIMITED

(Formerly known as Avon Management Private Limited)
Diamond Heritage, 16, Strand Road, 5th Floor, Room No-507
Kolkata-700001

Email id: avonmanagement@gmail.com CIN-U74140WB1994PTC062485

Declaration for Basic Services Demat Account (BSDA)

To,
Adwealth Stock Broking Pvt Ltd.
DP ID: 12079800
16, Strand Road, 5th Floor, Room No-507
Kolkata-700001

Date:

With reference to my/our application for opening a depository account, I/We request you to open my / our depository account as per the following details:

	Name	PAN
Sole First Holder		
Second Holder		
Third Holder		

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We are aware that if I/we are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my/our Demat account is liable to be converted to regular account.

I/We also, state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.

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Signature of Sole / 1st Holder



Signature of 2nd Holder



Signature of 3rd Holder



INSTRUCTIONS / NOTES

1. All communication shall be sent at the address of the Sole/First Holder only.
2. Thumb impressions and signatures other than English or Hindi or any other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination, are as below :
 - I. The nomination can be made only by individuals holding beneficiary owner account on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the Demat account is held jointly, all joint holders must sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee can not be a trust, body corporate, partnership firm, karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of securities.
 - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals holding beneficiary owner account on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all holders must sign the cancellation form.
 - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
4. Strike off whichever is not applicable
5. Clarifications with respect to Bank Proof to be submitted
 - i Photocopy or cancelled cheque having the pre-printed name of the account holder where the cheque book is issued, (or)
 - ii Photocopy of the Bank Statement for last two quarters having name and address of the client with Bank Logo or attested through respective bank.
 - iii Photocopy of the Passbook having name and address of the client, (or)
 - iv Letter from the Bank.In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present/ mentioned on the document.
6. Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the Client
7. **For Individuals:**
 - a. Stock Broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker office.
 - b. Registered Authorised Person are also authorised to perform 'In-person Verification'.
 - c. In case of non-resident clients, employees of the stock broker's local office, overseas, can do 'in-person' verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-resident 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.
8. **For Non Individuals:**
 - a. Account Opening 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.
9. **Additional documents in case of trading in Derivatives Segments - illustrative list:**

Copy of ITR Acknowledgment	In case of Salary Income - Salary Slip, Copy of Form 16
Copy of Latest Annual Accounts	Net Worth Certificate
Copy of Latest Demat Account Holding Statement	Copy of Bank Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.



CLIENT CONSENT

I am desirous of having account-based relationship with Adwealth Stock Broking Pvt. Ltd. (SEBI Registered Intermediary /M F Distributor) and I have approached them opening my Trading / Demat / MF account and performing necessary KYC in this regard. I would like to perform Aadhar based KYC and submit other account opening details online as per regulatory approval in this regard. Accordingly, I provide my voluntary, well-informed consent to Adwealth Stock Broking Pvt. Ltd. and NDML (service provider) for facilitating me to use my Aadhar record to perform online KYC and using / storing / maintaining / shaing my Aadhar record. I take note of and agree to following: I am aware that Aadhar usage is completely voluntary and I have option not to use Aadhar and use other alternate KYC mechanisms such as submission of other Officially Valid Documents for completing KYC.

I voluntarily choose to use Aadhar as preferred mechanism for performing KYC. I would submit myOTP / Biometric details for authentication of my record.

I am aware that I have option to use Virtual Identification Number (VID) facility provided by UIDAI so that I do not have to share my Aadhar number at all.

I am aware that based on my consent, my Aadhar details including Name, Date of Birth, Gender, Address, Photo and Email ID / Mobile would be shared by UIDAI in encrypted form with These details can be reviewed by me and if I find these details in order and confirm, these will be sued for processing my application.

These details along-with various other details submitted by me will be stored and processed and shared for processing my application. These will also be uploaded on KYC Registration Agency System, if these details are not found to be in sync with other profile details submitted by me. Adwealth Stock Broking Pvt. Ltd. can choose to request KYC again or reject my applications.

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Signature of Sole / 1st Holder



Signature of 2nd Holder



Signature of 3rd Holder

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Acknowledgement



Adwealth Stock Broking Pvt. Ltd.

Member: NSE • BSE | DP: CDSL

Corporate / Correspondence Off. Address :

Diamond Heritage, 16 Strand Road, Fairlie Place

5th Floor, Unit No. 507, Kolkata-700 001, Phone : (033) 4030 2999

Sub: Acknowledgment

This is to acknowledge the receipt of following documents.


I further state and confirm that I have read and understood all the clauses of aforesaid document.

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Adwealth Stock Broking Private Limited.

Sl. No Brief significance of the Document

1. Duly Executed Copy of KYC
2. Rights and Obligations
3. Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments
4. Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
5. Adwealth Tariff Sheet
6. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
7. General Terms & Conditions governing securities trading and broking services of Adwealth Stock Broking Private Limited

Yours faithfully,

Client Signature  36 _____

Name of the Applicant: _____ PAN No. _____ Date: _____

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