



CIL SECURITIES LTD

CIN No - L67120TG1989PLC010188

Name of Stock Broker / Trading Member / Clearing Member: CIL SECURITIES LIMITED

SEBI Registration No. and Date : INZ000169535 DT.21.03.2018

Registered Office Address: 214, Raghava Ratna Towers, Chirag Ali Lane, Abids, Hyderabad - 500 001
Ph : 040-23202465, 040-23203155,
E-Mail: advisors@cilsecurities.com, www.cilsecurities..com

Trading Code :																			
DP ID	1	2	0	1	3	5	0	0		Client ID									

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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Compliance officer name : Shri Krishna Kumar Maheshwari,

Phone No. & Email ID : 040-23203155, kkm@cilsecurities.com

For any grievance/dispute please contact stock broker (name) at the above address or

Email ID : kkm@cilsecurities.com and Phone No. 91-40-23203155.

In case not satisfied with the response, please contact the concerned exchange(s) at NSE : ignse@nse.co.in and Phone No. 91-22-26598190. BSE : isccchennai@bseindia.com and Phone No. : +91-44-42089959

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

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

D. Exemptions/clarifications to PAN ("Sufficient documentary evidence in support of such claims to be collected.")

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

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none">◆ Copy of the balance sheets for the last 2 financial years (to be submitted every year).◆ Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/ Whole time Director/ MD (to be submitted every year)◆ Photograph, POI, POA, PAN and DIN numbers of whole time directors/ two directors in charge of day to day operations.◆ Photograph, POI, POA, PAN of individual promoters holding control either directly or indirectly.◆ Copies of the Memorandum and Articles of Association and certificate of incorporation.◆ Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures.
	<ul style="list-style-type: none">◆ Copy of the balance sheets for the last 2 financial years (to be submitted every year).◆ Certificate of registration (for registered partnership firms only).◆ Copy of partnership deed.◆ Authorised signatories list with specimen signatures.◆ Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none">◆ Copy of the balance sheets for the last 2 financial years (to be submitted every year).◆ Certificate of registration (for registered trust only).◆ Copy of Trust deed.◆ List of trustees certified by managing trustees/CA.◆ Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none">◆ PAN of HUF.◆ Deed of declaration of HUF/ List of coparceners.◆ Bank pass-book/bank statement in the name of HUF.◆ Photograph, POI, POA, PAN of Karta.

Types of entity	Documentary requirements
Unincorporated association a body of Individuals Banks / Institutional	<ul style="list-style-type: none"> ◆ Proof of Existence/Constitution document. ◆ Resolution of the managing body & Power of Attorney granted to transact business on its behalf. ◆ Authorized signatories list with specimensignatures. ◆ Copy of SEBI registration certificate. ◆ Authorized signatories list with specimensignatures. ◆ Self-certification on letterhead.
Foreign Institutional Investors (FII) Army / Government Bodies	<ul style="list-style-type: none"> ◆ Copy of Registration Certificate under Societies Registration Act. ◆ List of Managing Committee members. ◆ Authorized signatories list with specimensignatures. ◆ Committee resolution for persons authorised to act as authorized signatories with specimen signatures.
Registered Society	<ul style="list-style-type: none"> ◆ Truecopy of Society Rules and Bye Laws certified by the Chairman/ Secretary.

ADDITIONAL DOCUMENTS

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of Demat Account Holding Statement.	Bank Account Statement for last 6 months

Any other relevant documents substantiating owner ship of assets.	Self declaration with relevant supporting documents.
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*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For individuals:**
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do inperson' 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.
5. **For non-individuals:**
 - a. Form need to be initialized by all the authorizedsignatories.
 - 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 specimensignatures

KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR INDIVIDUAL

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS								PHOTOGRAPH Please affix your recent passport size photograph and sign across it. (1)
Name of the Applicant								
Father's / Spouse Name								
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female		Marital Status		<input type="checkbox"/> Single <input type="checkbox"/> Married			
Date of Birth	__ / __ / ____		Nationality : <input type="checkbox"/> Indian <input type="checkbox"/> Others					
Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)							
PAN	(Please enclose a duly attested copy of your PAN Card)							
Aadhaar Number, if any								
Proof of Identity submitted for PAN exempt cases Please tick(✓)								
<input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving License <input type="checkbox"/> Others (Please see guideline "D" of pg 3)								
B. ADDRESS DETAILS								
Residence/Correspondence Address								
City / Town / Village			Pin Code			State	Country	
Tel.(Off)			Tel.(Res.)			Mobile No.	Fax	
Email Id								
Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached <input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Registered Lease/Sale Agreement of Resident <input type="checkbox"/> Driving License <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Bank A/c Statement/Passbook <input type="checkbox"/> * Latest Telephone Bill (only Land Line) <input type="checkbox"/> * Latest Electricity Bill <input type="checkbox"/> * Latest Gas Bill <input type="checkbox"/> Others (Please specify) _____ * Not more than 3 months old. Validity/Expiry date of proof of address submitted __ / __ / ____								
Permanent Address of Resident Applicant if different from above (correspondence address) or overseas address, (mandatory) for Non-Resident Applicant								
City / Town / Village			Pin Code			State	Country	
Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached <input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Registered Lease/Sale Agreement of Resident <input type="checkbox"/> Driving License <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Bank A/c Statement/Passbook <input type="checkbox"/> * Latest Telephone Bill (only Land Line) <input type="checkbox"/> * Latest Electricity Bill <input type="checkbox"/> * Latest Gas Bill <input type="checkbox"/> Others (Please specify) _____ * Not more than 3 months old. Validity/Expiry date of proof of address submitted __ / __ / ____								
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/we aware that I may be held liable for it.								
Signature of the Applicant				Date : __ / __ / ____ Place:				
(2)								
FOR OFFICE USE ONLY								
<input type="checkbox"/> Originals verified and Self-Attested copies Received <input type="checkbox"/> (Attested) True copies of documents received	Name				Seal/Stamp of the intermediary			
	Designation							
	Name of the Organization							
	Signature							
	Date							

Note: In case of insufficient space in the application form the data can also be submitted by way of annexures, and annexure particulars is required to be mentioned in the specified column.

KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUAL

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS							
Name of the Applicant							
Date of Incorporation		__ / __ / ____			Place of incorporation		
Date of Commencement of business		__ / __ / ____					
Registration No.(e.g.CIN) :							
Permanent Account Number (PAN) (MANDATORY): (Please enclose a duly attested copy of your PAN Card)							
Status (please tick (✓) any one) <input type="checkbox"/> Private Ltd Co. <input type="checkbox"/> Public Ltd Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> HUF <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> FPI Category I <input type="checkbox"/> FPI Category II <input type="checkbox"/> FPI Category III <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> Body of Individuals <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (Please specify) _____							
B. ADDRESS DETAILS							
Address for Correspondence							
City / Town / Village		Pin Code		State		Country	
Tel.(Off)		Tel.(Res)		Mobile No.		Fax	
Email Id							
Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached <input type="checkbox"/> * Latest Telephone Bill (only Land Line) <input type="checkbox"/> * Latest Electricity Bill <input type="checkbox"/> * Latest Bank A/c Statement <input type="checkbox"/> Registered Lease / Sale Agreement of Office Premises <input type="checkbox"/> Any Other Proof of address document. Please specify) _____ * Not more than 3 months old. Validity/Expiry date of proof of address submitted __ / __ / ____							
Registered Address (if different from above)							
City / Town / Village		Pin Code		State		Country	
Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached <input type="checkbox"/> * Latest Telephone Bill (only Land Line) <input type="checkbox"/> * Latest Electricity Bill <input type="checkbox"/> * Latest Bank Account Statement <input type="checkbox"/> Registered Lease / Sale Agreement of Office Premises <input type="checkbox"/> Any Other Proof of address document (Please specify) _____ * Not more than 3 months old. Validity/Expiry date of proof of address submitted __ / __ / ____							
DECLARATION							
I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.							
Name & Signature(s) of Authorised Person(s)		(1)			Date : __ / __ / ____ Place:		
FOR OFFICE USE ONLY							
AMC/Intermediary Name or Code							
<input type="checkbox"/> Originals verified and Self-Attested copies Received <input type="checkbox"/> (Attested) True copies of documents received	Name				Seal/Stamp of the intermediary		
	Designation						
	Name of the Organization						
	Signature						
	Date						

Note: In case of insufficient space in the application form the data can also be submitted by way of annexures, and annexure particulars is required to be mentioned in the specified column.

MANDATORY

OTHER DETAILS (for Individuals)					
Gross Annual Income details (please specify) : Income Range per annum					
<input type="checkbox"/> Upto Rs. 1,00,000/-		<input type="checkbox"/> Rs.1,00,001/- to Rs. 5,00,000/-		<input type="checkbox"/> Rs.5,00,001/- to Rs.10,00,000/-	
<input type="checkbox"/> Rs.10,00,001/- to Rs.25,00,000/		<input type="checkbox"/> Above Rs.25,00,001/-			
Net worth as on Date:			Rs. _____ (Net worth should not be older than 1 year)		
Occupation (Please tick any one and give brief details)		<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others			
Please tick, if applicable		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)			
OTHERS DETAILS (for Non – Individuals)					
Gross Annual Income details (please specify) : Income Range per annum					
<input type="checkbox"/> Upto Rs.1,00,000/-		<input type="checkbox"/> Rs.1,00,001/- to Rs. 5,00,000/-		<input type="checkbox"/> Rs.5,00,001/- to Rs.10,00,000/-	
<input type="checkbox"/> Rs.10,00,001/- to Rs.25,00,000/		<input type="checkbox"/> Above Rs.25,00,001/-			
Net worth as on Date:			Rs. _____ (Net worth should not be older than 1 year)		
Name, PAN, Residential Address and Photographs of Promoters/Partners/ Karta/Trustees and Whole Time Directors					
DIN of Whole Time Directors				Aadhaar Number of Promoters/Partners/Karta	

BANK ACCOUNT(S) DETAILS					
No.	MICR No.	Bank Name, Branch Address & Tel. No.	A/c Type	Account No.	IFSC Code
1.					
2.					
Please provide Cancelled Cheque leaf for MICR & IFSC Code					
DEPOSITORY ACCOUNT(S) DETAILS					
Sr.No.	Depository Participant Name	DP ID No.	DP Account No.	Depository Name	
1. ❖❖❖				NSDL / CDSL	
2.				NSDL / CDSL	
❖❖❖ Shares bought by you will be transferred to your DPA/c stated by you at Sr. No. 1					
TRADING PREFERENCES					
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.					
Ex. Segment	Cash	Derivatives	Currency Derivatives	Mutual Funds	
BSE					
	(3.1)	(3.2)	(3.3)	(3.4)	
NSE					
	(3.5)	(3.6)	(3.7)	(3.8)	
# If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.					
PASTACTIONS					
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:					

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS							
If client is dealing through the sub-broker, provide the following details:							
Name				BSE SEBI Reg. No.			
Regd. Off.				NSE SEBI Reg. No.			
Address				MCX-SX SEBI Reg. No.			
Signature	(SB1)	Tel. No.		Remisier/AP_____			
		Fax No.		Remisier/AP_____			
		Website		Remisier/AP_____			
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)							
Name of Stock Broker		Name of Sub-Broker, if any		Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker:							
ADDITIONAL DETAILS							
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):						<input type="checkbox"/> Yes <input type="checkbox"/> No	
Specify your Email id, if applicable:							
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):						<input type="checkbox"/> Yes <input type="checkbox"/> No	
Number of years of Investment/Trading Experience:							
Any other information							

INTRODUCER DETAILS (Optional)			
Name			Signature
Add. / Tel.			
Status of the Introducer		Sub Broker / Remisier / Authorized Person / Existing Client / Other please specify	
NOMINATION DETAILS (FOR INDIVIDUAL ONLY)			
<input type="checkbox"/> I /We wish to nominate		<input type="checkbox"/> I /We do not wish to nominate	
Name of Nominee		Relation with Nominee	
Address		PAN No.	
		Tel. No.	
If Nominee is a minor, details of Guardian		Date of Birth	
Name of Guardian			
Address & Tel No.		Signature of Guardian	
Witnesses (Only applicable in case the account holder has made nomination)			
Name		Name	
Address		Address	
Signature		Signature	

DECLARATION			
1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. 2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. 3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.			
Name			Signature
Place		Date	
FOR OFFICE USE ONLY			
UCC Code allotted to the Client:			
Documents verified with Originals / In person Verification done by		Client Interviewed / Approved by	
Name			
Signature			
Designation			
Employee Code			
Date			
I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.			
Date	Signature of the Authorised Signatory		Seal/Stamp of the stock broker

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS AS PRESCRIBED BY SEBI AND STOCK EXCHANGES

- The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
- The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 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.
- 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.
- The stock broker shall take steps to make the client aware of the precise nature of the Stockbroker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
- The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

- The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
- 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.
- 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.
- The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

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

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 stockbroker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stockbroker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make payout 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/hereof 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 here under. 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 acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the exchange rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the exchange regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the exchange regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail id of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the exchange regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued there under 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 Byelaws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued there under of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye- laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCKBROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading. In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

121. 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.
- 1.42** 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.
- 1.43** 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 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 remarked 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.

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

- 3. **TRADING THROUGH WIRELESS TECHNOLOGY SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:** Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology / smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

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

GUIDANCE NOTE - DO'S AND DONT'S FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS BEFORE YOU BEGIN TOTRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges website www.bseindia.com / www.nseindia.com and SEBI website www.sebigov.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 provisional guidelines specified by SEBI Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank / demat account such money or securities deposited and from which bank / demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified.
Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

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

Information on Prevention of Money Laundering Act 2002 (PMLA)

- ◆ Due to the tightened security and increased vigilance in the wake of threats emanating from increasing terrorism, any ~~file~~ on our part to discharge our duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain in certain transaction, even if unknowingly or ignorantly, may land us in trouble.
- ◆ There is an Act called Prevention of Money Laundering Act 2002. (PMLA)
- ◆ The purpose of this Act is to prevent the financing of terrorism and to prevent laundering of money i.e. to legalize or ~~officialize~~ or canalise the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes.
- ◆ This Act is a part of the Global measures being taken by all the countries under the initiatives of UN agencies.
- ◆ It is applicable to all SEBI Registered brokers/sub-brokers and other financial institutions ~~who~~ are dealing in any kind of financial assets.
- ◆ It is an obligation of the entities to whom this Act is applicable, to report certain kind of transactions routed through them b FINANCIAL INTELLIGENCE UNIT, a department specially set up to administer this Act under the Ministry of Finance.
- ◆ The transactions which are supposed to be reported are cash transactions above rupees ten lakhs or series of ~~cash~~ transactions below ten lakhs but aggregating to above ten lakhs in a month or its equivalent in any foreign currency and the transactions which may not be in cash but suspicious in nature.
- ◆ Any such above types of transaction, though not executed but attempted and failed are also required to be reported.
- ◆ The suspicious transaction can be related to the transaction under the circumstances such as;
- ◆ Clients whose identity verification seems difficult or clients that appear not to cooperate
 - Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing /business activity;
 - Clients based in high risk jurisdictions;
 - Substantial increases in business without apparent cause;
 - Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
 - Attempted transfer of investment proceeds to apparently unrelated third parties;
 - Businesses undertaken by offshore banks/financial services,
 - Businesses reported to be in the nature of export/import of small items.
 - Unusual transactions by Clients of Special Categories (CSCs).
- ◆ Clients of Special Categories may include;
 - NRI/HNI/Trust/Charities/NGO/Organizations receiving donations
 - Companies having close family shareholdings or beneficial ownership
 - Politically Exposed Persons
 - Companies offering foreign exchange offerings
 - Clients in high risk countries
 - Non face to face clients
 - Clients with dubious reputation as per public information available
- ◆ No trading or demat account can be opened in the name of entity whose name is listed on the banned entity list ~~is~~ maintained at United Nation's website at <http://www.un.org/sc/committees/1267/consolist.shtml>.
- ◆ While opening the new accounts all the prescribed procedures of KYC and Client Identifications should strictly be ~~followed~~ in the context of ensuring the compliance under this act.
- ◆ All the records of transactions and client identifications must be preserved in a manner which can be promptly retrieved ~~at~~ reported to the authorities in the specified format.
- ◆ This is the highlights of the requirements under the Act. Subbrokers / Authorised Persons /Remisiers are advised to ~~go~~ through the SEBI's master circular at <http://www.sebigov.in/circulars/2010/mastercircular/MasterCircular.pdf> for detailed information and understanding and also to visit the website of FIU-IND at <http://fiuindia.gov.in>
- ◆ The end clients are advised to co-operate with us by providing the additional information /documents, if asked for during ~~the~~ course of your dealings with us to ensure the compliance requirements under this Act.
- ◆ As a responsible citizen, it is our statutory as well as moral duty to be vigilant and to refrain from temptation of easy ~~monetary~~ gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering our freedom and causing damage to the nation and to us as well.
- ◆ For any further clarifications or information on the subject, principal Officer may be contacted.

POLICIES & PROCEDURE

a) Policy for Penny Stock

These stocks are highly speculative and risky on account of lack of liquidity; large ask-bid spreads; small capitalization and limited followings and disclosure. Depending on the stock and market condition RMS reserves its right to refuse the Clients to trade in Penny stocks.

b) Setting up client's exposure limits

Cash Market Segment:

In Cash Market Segment, Clients are permitted to make purchase and make payment before the due date and in case of non-receipt of payment account is regularized by selling the shares available in the account

Derivative Segment:

We have margin based RMS system. Total deposits and securities of the clients are uploaded in the system and client take exposure on the basis of available margin in his account. The open position is adjusted as per SPANbased margining system of the stock exchange and client is permitted to trade on the basis of deposits available in his account.

c) Applicable Brokerage Rate:-

Brokerage is charged within the limits prescribed by SEBI/Exchange and on account of market dynamics brokerage is required to be revised from time to time and the brokerage rate appearing in the contract Note will be deemed to be the agreed brokerage rate between the client and the broker

d) Imposition of penalty/delayed payment charges

Client is liable to pay default charges for not making payment of their pay in/margin obligation on time as per the exchange requirement / schedule at the rate upto 2% per month.

The client agrees that the stockbroker may impose fines/penalties on client account where the stockbroker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/dealings/actions of the client the same shall be borne by the client.

e) The right to sell client's securities or close clients' positions,:

The client shall ensure timely availability of funds/securities in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, the benefit of shares received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

The stockbroker shall be entitled to liquidate/close out partially / all of the clients position for non-payment of funds / margins.
Auto Square Off / Mark to Market Square Off:

The stockbroker has the right but not the obligation, to sell/close/liquidate all / partially the open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage.

f) Shortages in obligations arising out of internal netting of trades

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is asunder:

- a) The securities delivered short are purchased from market by T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller.
- b) If securities cannot be purchased from market due to any force majeure reasons, the short delivering seller is debited on the date the shares are purchased from the Stock Exchange (inclusive of all statutory taxes and levies).

h) Temporarily suspending or closing a client's account at the client's request

The client account can be suspended on the written request of the client.

On the request of the client in writing, the client account is closed provided the client account is regular and is without arrears.

i) Deregistering a client:- The stock broker shall be entitled to terminate the agreement in any of the following circumstances:

- a) If the action of the client are prima facie illegal/ improper.
- b) On the death/lunacy or other disability of the Client;
- c) If the client being a partnership firm, has taken steps for dissolution of the partnership;
- d) If the Client suffers adverse material change in his/her/its financial position or defaults with any other Stockbroker;
- e) If there is reasonable apprehension that the Client is unable to pay its debts;
- f) If the Client is in breach of any term, condition or covenant of this Agreement;
- g) If the Client has made any material misrepresentation of facts;
- h) If a receiver, administrator or liquidator has been appointed;
- i) If the client has suffered any action for its reorganization, liquidation or dissolution;
- j) If the Client has become the subject matter of proceedings under any bankruptcy or insolvency law or being a company, goes in to liquidation.
- k) If any covenant or warranty of the Client is incorrect or untrue;

J) In active Client account:

Client account will be considered as inactive if the client does not trade for period of one year and all efforts are made to close the account.

K) Client Unpaid Securities Account:

Clients are permitted to purchase shares and to make payment on or before the pay in date.

In the event of non-receipt of payment, the client agrees as under:-

- 1) That the shares can be transferred to the Client Demat Account (with POA given to the Member)
- 2) That the shares can also be transferred to the Client Unpaid Securities Account
- 3) That any of the shares lying in Client Unpaid Securities Account can be sold to clear the debit balance.
- 4) That the shares can be transferred from Client Unpaid Securities Account to client account even when the client debit balance is not cleared.
- 5) That the client will not be permitted to take any fresh position when there is continuous debit in the client account for 5 trading days from payout date.

However debit balance on account of DP Charges / Interest / incidental charges etc. shall be ignored for the purpose of considering client debit balance

To

M/s.CIL Securities Limited
214, Raghava Ratna Towers,
Chirag Ali Lane, Abids,
Hyderabad – 500 001

BROKERAGE STRUCTURE

Segment	Flat Brokerage	Brokerage in % for Square off transaction	Minimum Square off Brokerage	Brokerage in % for Delivery Transaction	Minimum Delivery Brokerage	One Side	Both Sides	Whether Brokerage to be charged on expiry contracts Yes/No
Cash Market Segment								
Cash Market Auction Segment								
F&O Market Segment								
Currency Market Segment								
Options Market Segment								
Mutual Fund Segment								

Yours Sincerely,

(5) _____
Signature of the Client

The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax and Service Tax which will be charged extra at the rate prevailing from time to time

Note: Please note that the brokerage is subject to revision from time to time

Voluntary

Date :

To
CIL Securities Limited,
214, Raghava Ratna Towers,
Chirag Ali Lane, Abids,
Hyderabad – 500001.

Sir,

Sub: Mutual Fund Service System facility / BSE STAR MF.

I/We _____ am/are registered as your client with Client Code No. __ and have executed the trading Member and Client agreement for the purpose of trading in the Capital Market Segment of National Stock Exchange of India Ltd / Bombay Stock Exchange Ltd (Exchanges).

I/We am/are interested in availing the MFSS Facility / BSE STAR MF of the Exchange for the purpose of dealing in the units of Mutual funds Schemes permitted to be dealt with on the MFSS / BSE STAR MF of the Exchange.

For the purpose of availing the MFSS facility / BSE STAR MF, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS / BSE STAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, agenda issued regarding each Mutual fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

Thanking you,

Yours faithfully,

(6) _____

(Name and Signature of Client)

Voluntary

Date :

To
CIL SECURITIES LTD.
214, Raghava Ratna Towers, Chirag Ali Lane,
Hyderabad - 500 001.

Dear Sirs,

Sub: Letter of Authority/Mandate for issuance of Daily E-Contract Notes, Margin Statements, Bills.
Monthly/Quarterly/Periodic Transaction Statement, Holding Statements etc.

In reference to my/our dealing with you as your client I/we here by authorize you to send the digitally signed Contract Notes/Bills/Ledger Accounts etc. to my /our following email id. In order to facilitate ease of operations I/we hereby give my/our consent and agree to accept the related information/documents at the under mentioned EMAIL ID as the valid one.

We wish to avail internet trading on all the Exchanges and shall ensure that User Name and Password will be kept strictly confidential.

In case of any query, I/we shall intimate you/branch within 24 hours thereof. In case of any change in my/our aforesaid email id I/we undertake to intimate the same to you in writing.

Kindly activate my email id and start sending digital contract notes and other market related obligations/communication on this email.

Address.

Client Code:

Email ID :

Your faithfully,

(7)
(Name and Signature of Client)

Dear Sir,

Date :

AUTHORISATION FOR RUNNING ACCOUNT

I hereby give my consent to maintain my account as a running account, and authorize you to settle my account of Funds and Securities lying in client collateral / collateral account one in calendar month / quarter.

The running account authorization shall be valid and can be explicitly revoked by me and till such time I revoke my authority, the authorization shall be valid.

Signature of Client : **(8.1)** _____

DECLARATION FOR MOBILE NO.

Mobile Number _____ is in use by me and I further, authorize that the same may be used for giving me any Information/Confirmation/Alerts/ SMS/Reminders/Call and my account number will be treated as DND Free

Signature of Client : **(8.2)** _____

AUTHORISATION FOR OPERATION OF ACCOUNT

I/We authorize Mr./Ms. _____ having PAN No. _____ to do business for and on my behalf, to place, execute, modify or cancel orders. to buy and sell securities and to receive/give Cheques/Demand Draft, Funds, Deliveries, Documents, Contracts Notes, Acknowledgements, Statement of Account etc.

This authorization shall remain in force unless/otherwise it is revoked by me in writing.

Signature of Client : **(8.3)** _____

ACKNOWLEDGEMENT

(Confirmation of receipt of executed documents)

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of KYC, RDD and all other documents as executed by me/us.

Signature of Client : **(9)** _____

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Client Code:

Client Name:

Signature of the client:

Additional KYC Form for Opening a Demat Account

For Individuals:



CIL SECURITIES LIMITED

REGD. OFF : 214, RAGHAVA RATNA TOWERS, CHIRAG ALI LANE, ABIDS, HYDERABAD – 500 001

11.1 PHONE NO. OFF : 040-23202465, 23203155,

E.MAIL : advisors@cilsecurities.com, dp@cilsecurities.com

CIN No-L67120TG1989PLC010188

(To be filled by the Depository Participant)

Application No.											Date:									
DP Internal Reference No.																				
DP ID	1	2	0	1	3	5	0	0	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														
Second Holder's Name	PAN														
	UID														
Third Holder's Name	PAN														
	UID														

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

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's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <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 Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <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) _____	

Details of Guardian (in case the account holder is minor)		
Guardian's Name	PAN	
Relationship with the applicant		

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

I/ We wish to receive dividend / interest directly in to my bank account as 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
--	--

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO and not more than 2 months old, (or)
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

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

OTHER DETAILS (Details For First Holder)		
Gross Annual Income details (please specify) : Income Range per annum		
<input type="checkbox"/> Upto Rs. 1,00,000/-	<input type="checkbox"/> Rs.1,00,001/- to Rs. 5,00,000/-	<input type="checkbox"/> Rs.5,00,001/- to Rs.10,00,000/-
<input type="checkbox"/> Rs.10,00,001/- to Rs.25,00,000/-	<input type="checkbox"/> Above Rs.25,00,001/-	
Net worth as on Date:	Rs. _	(Net worth should not be older than 1 year)
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (specify) _____	
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	

SMS Alert Facility	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).										
Transactions Using Secured Texting Facility (TRUST).	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed byCDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)									
Easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.										

Details of Guardian (If First Holder or Second Holder or Third Holder is a minor)

First Name							
Middle Name							
Last / Search Name							
Relationship with the applicant							
Correspondence Address							
City				State			
Country				PIN			
Telephone No.	Fax No.		Mobile No.				
PAN							
E-mail ID							

For NRIs

Foreign Address							
City				State			
Country				PIN			

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(10)		
Passport size Photograph	(Please sign across the photograph) (10.a)	(Please sign across the photograph)	(Please sign across the photograph)

FOR CIL SECURITIES LIMITED

AUTHORISED SIGNATORY

Instruction for Applicants

- Signatures can be in English, Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her Official seal.
- Signatures should be preferably in black ink.
- Details of the names, Address and Telephone No. etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of any attestation done by them.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
- All correspondence / queries shall be addressed to the First/Sole Applicant.
- Strike off whichever option, in the account opening form, is not applicable.

Nomination Form

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

TM / DP Name and Address: CIL SECURITIES LIMITED 214, Raghava Ratna Towers, Chirag Ali Lane, Abids, Hyderabad – 500 001										FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																			
Date										UCC Code		DP ID							Client ID										
I/We wish to make a nomination. <i>[As per details given below]</i>																													
Nomination Details																													
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																													
Nomination can be made upto three nominees in the account.										Details of 1st Nominee										Details of 2nd Nominee					Details of 3rd Nominee				
1	Name of the nominee(s) (Mr./Ms.)																												
2	Share of each nominee	Equally <small>[If not equally, please specify percentage]</small>								%										%					%				
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																													
3	Relationship With the Applicant (If Any)																												
4	Address of Nominee(s) City / Place: State & Country:																												
		PIN Code																											
5	Mobile / Telephone No. of nominee(s)																												
6	Email ID of nominee(s)																												
7	Nominee Identification details – <small>[Please tick any one of following and provide details of same]</small> <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																												
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																													
8	Date of Birth {in case of minor nominee(s)}																												
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}																												
10	Address of Guardian(s)																												

	City / Place: State & Country:				
	PIN Code				
11	Mobile / Telephone no. of Guardian				
12	Email ID of Guardian				
13	Relationship of Guardian with nominee				
14	Guardian Identification details– [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID				
Name(s) of holder(s)					Signature(s) of holder*
Sole / First Holder (Mr./Ms.)					(11)
Second Holder (Mr./Ms.)					
Third Holder (Mr./Ms.)					

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

Note:

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

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

Declaration Form for opting out of Nomination

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

To				Date							
Trading Member/Participant's Name : CIL SECURITIES LIMITED Trading Member/Participant's Address: 214, Raghava Ratna Towers, Chirag Ali Lane, Abids, Hyderabad – 500 001											
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. (11.a) _____ 2. _____ 3. _____											

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

FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) - (CRS) DECLARATION FORM

[Mandatory for all Investors (Guardian in case of minor) and Joint holder(s)]

To,
The Compliance Officer
CIL SECURITIES LIMITED
214, Raghava Ratna Towers,
Chirag Ali Lane, Abids,
HYDERABAD-500001.

APPLICANT'S INFORMATION

Trading A/c No. _____ Demat A/c No. _____

Is your Country of Tax Residency other than India - ☐ YES ☐ No

If Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type.

Sr. No.	Country of Tax Residency #	Foreign Address	Tax Payer Identification Number / Functional Equivalent	Identification Type "TIN" or other, please specify
1.				
2.				
3.				

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

DECLARATION & SIGNATURE(S) (To be signed as per mode of holding)

Client agrees to provide the trading member and/or depository participant with any documentation or information requested relating to individual or entity tax status. To the extent required by the trading member and/or depository participant, client hereby consents to the disclosure and reporting of any tax related information obtained or held by the trading member and/or depository participant to any local or foreign regulatory or tax authority ("Tax Authority"). Upon request by the trading member and/or depository participant, client hereby agrees to obtain a written waiver or consent from the entity's "substantial owners" or "controlling persons" and to provide those consents to the trading member and/or depository participant to permit it to disclose and report tax and account specific financial information to any local or foreign Tax authority. The terms "substantial owners" and "controlling persons" shall have the meaning as defined under local or foreign tax laws, regulatory guidance or inter-governmental cooperation agreements. The potential consequences for failure to comply with requests for tax information, failure to respond to requests for waivers or consents for tax information disclosure, and/or failure to respond to requests to obtain waivers or consents from substantial owners or controlling persons, include, but are not limited to: (a) trading member and/or depository participant has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) trading member and/or depository participant has the ability to withhold taxes that may be due from certain payments made to the client's account; (c) trading member and/or depository participant has the right to pay relevant taxes to the appropriate tax authority; (d) trading member and/or depository participant has the right to refuse to provide certain services; and (e) trading member and/or depository participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from, the trading member and/or depository participant, if there are any changes to tax information previously provided.

(12)_____
1st Holder/ Authorised Sign_____
2nd Holder/ Authorised Sign_____
3rd Holder/ Authorised Sign

Additional KYC Form for Opening a Demat Account

For Non-Individuals:



CIL SECURITIES LIMITED

REGD. OFF : 214, RAGHAVA RATNA TOWERS, CHIRAG ALI LANE, ABIDS, HYDERABAD – 500 001

PHONE NO. OFF : 040-23202465, 23203155,

E.MAIL : advisors@cilsecurities.com,
dp@cilsecurities.com CIN No-
L67120TG1989PLC010188

(To be filled by the Depository Participant)

Application No.		Date:															
DP Internal Reference No.																	
DP ID	1	2	0	1	3	5	0	0	Client ID								

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

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

Holder details:

Sole / First Holder's Name	PAN																
	UID																
Second Holder's Name	PAN																
	UID																
Third Holder's Name	PAN																
	UID																

Name *																	
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.																	
Type of Account (Please tick whichever is applicable)																	
Status										Sub – Status							
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify)										To be filled by the DP							
SEBI Registration No. (If Applicable)					SEBI Registration date												
RBI Registration No. (If Applicable)					RBI Approval date												
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)																
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'yes')										(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No							
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')										<input type="checkbox"/> Yes <input type="checkbox"/> No							
Account Statement requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly																
I / We request you to send Electronic Transaction-cum-Holding Statement at the Email ID _____										<input type="checkbox"/> Yes <input type="checkbox"/> No							
I / We would like to share the email ID with the RTA										<input type="checkbox"/> Yes <input type="checkbox"/> No							
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)																	

Clearing Members Details (To be filled by CMs only)

Name of the Stock Exchange	
Name of the CC / CH	
Trading Member ID	
Clearing Member ID	

I / We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]

☐ Yes ☐ No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN			

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO and not more than 2 months old, (or)
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

- In case of option (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO

OTHERS DETAILS

Gross Annual Income details (please specify) : Income Range per annum

- ☐ Upto Rs.1,00,000/- ☐ Rs.1,00,001/- to Rs. 5,00,000/- ☐ Rs.5,00,001/- to Rs.10,00,000/-
☐ Rs.10,00,001/- to Rs.25,00,000/ ☐ Above Rs.25,00,001/- to 1,00,00,000/-
☐ More than 1,00,00,000/-

Net worth as on Date: Rs. _____ (Net worth should not be older than 1 year)

Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐. Please provide details as per Annexure 2.2 A.

Any other information:

SMS Alert Facility	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).											
Transactions Using Secured Texting Facility (TRUST).	<p>I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</p> <table> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </table>			Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)										
Easi	<p>To register for Easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.</p>											

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	(10)		
Passport size Photograph	(Please sign across the photograph) (10.a)	(Please sign across the photograph)	(Please sign across the photograph)

(In case of more authorized signatories, please add annexure)

(Signatures should be preferably in black ink)

Instruction for Applicants

1. Signatures can be in English, Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her Official seal.
2. Signatures should be preferably in black ink.
3. Details of the names, Address and Telephone No. etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of any attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the First/Sole Applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

Statement of account

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

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

(13)

1st Holder/ Authorised Sign

2nd Holder/ Authorised Sign

3rd Holder/ Authorised Sign

Voluntary Clause

1. I hereby authorize M/s CIL Securities Ltd to adjust / transfer the DP account debit balance with my Trading Account ledger credit balance.
2. I hereby further authorize, that should there be a ledger debit balance in my client trading account M/s CIL Securities Ltd can mark a lien on my DP holding account and can sell the shares to adjust the book balance.

(14)

1st Holder/ Authorised Sign

2nd Holder/ Authorised Sign

3rd Holder/ Authorised Sign

To

CIL Securities Limited,
214, Raghava Ratna Towers,
Chirag Ali Lane, Abids,
Hyderabad – 500001.

Dear Sir,

We received a copy of “Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories” and herewith we acknowledge the same.

Thanking you,

Yours Sincerely,

(15)

1st Holder/ Authorised Sign

2nd Holder/ Authorised Sign

3rd Holder/ Authorised Sign

(For Joint Accounts)

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 the default option would be First holder.

First Holder	<input type="checkbox"/> All Holder	Email ID :
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

Signature of First Holder : _____

Signature of second Holder : _____



CIL SECURITIES LIMITED

REGD. OFF : 214, RAGHAVA RATNA TOWERS, CHIRAG ALI LANE, ABIDS, HYDERABAD – 500 001

PHONE NO. OFF : 040-23202465, 23203155

E.MAIL : advisors@cilsecurities.com,
dp@cilsecurities.com CIN No-
L67120TG1989PLC010188

Tariff applicable to Beneficiary Account Holder

Service Particulars	Investor		Trader	Special Scheme		
	<input type="checkbox"/> Scheme A	<input type="checkbox"/> Scheme B	<input type="checkbox"/> Scheme D	<input type="checkbox"/> Scheme E	Scheme BSDA – A HV Less than Rs.4,00,000/-	Scheme BSDA – A HV between Rs.4,00,001/- and Rs.10,00,000/-
A) Account Opening Charges :	POA not Registered	(Only for POA Clients)	For Corporates			
Account Opening	Nil	Nil	Nil	Nil	Nil	Nil
Upfront Payment	Rs.400/-	Rs.300/-	Rs.1000/-	Rs.500/- (Rs.3000/-deposit and Rs.2500/- will be returned while closing of Demat Account)	Rs.200/-	Rs.200/-
Annual Maintenance (Charged from 2 nd Year)	Rs.400/-	Rs.300/-	Rs.1000/-	NIL	Nil	100/-
Issue of New Instruction Slip Book	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-
B) Transaction Charges :						
Sale per Instruction through CIL	Rs.13.50 per ISIN	Rs.13.50 per ISIN	Rs.13.50 per ISIN	Rs.13.50 per ISIN	Rs.13.50 per ISIN	Rs.13.50 per ISIN
Off Market Transaction	Rs.100/- per ISIN	Rs.100/- per ISIN	Rs.100/- per ISIN	Rs.100/- per ISIN	Rs.100/- per ISIN	Rs.100/- per ISIN
Late Transaction Charges	Rs.10/-	Rs.10/-	Rs.10/-	Rs.10/-	Rs.10/-	Rs.10/-
Instruction Failure	Rs.10/-	Rs.10/-	Rs.10/-	Rs.10/-	Rs.10/-	Rs.10/-
C) Dematerialisation :						
Dematerialisation per Certificate	Rs.75/-	Rs.75/-	Rs.75/-	Rs.75/-	Rs.75/-	Rs.75/-
Courier Charges per Demat request upto 100	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-
Demat Rejection	Rs.25/-+Rs.100/- Courier Charges	Rs.25/-+Rs.100/- Courier Charges	Rs.25/-+Rs.100/- Courier Charges	Rs.25/-+Rs.100/- Courier Charges	Rs.25/-+Rs.100/- Courier Charges	Rs.25/-+Rs.100/- Courier Charges
D)*Rematerialisation (per Certificate)	*Rs.25/- +Rs.100/- Courier Charges	*Rs.25/- +Rs.100/- Courier Charges	*Rs.25/- +Rs.100/- Courier Charges	*Rs.25/- +Rs.100/- Courier Charges	*Rs.25/-+Rs.100/- Courier Charges	*Rs.25/-+Rs.100/- Courier Charges
E) Pledge:						
Creation/Confirmation of Pledge	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-
Closure of Pledge	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-
Invocation of Pledge	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-
Margin Pledge	Rs.30/-	Rs.30/-	Rs.30/-	Rs.30/-	Rs.30/-	Rs.30/-
Margin Unpledge	Nil	Nil	Nil	Nil	Nil	Nil
Margin Repledge	Nil	Nil	Nil	Nil	Nil	Nil
Modification Charges	Rs.50/-	Rs.50/-	Rs.50/-	Rs.50/-	Rs.50/-	Rs.50/-
KRA Upload / Download	Rs.50/-	Rs.50/-	Rs.50/-	Rs.50/-	Rs.50/-	Rs.50/-
* For every 100 shares a flat fee of Rs.25/- + GST will be levied.						

NOTES

- The rates are subject to revision by CDSL from time to time.
- The additional Courier Charges for Demat shall be leviable in case the Certificates weight is above 250 grams.
- The payment towards account opening under the above scheme shall be released upfront.
- The change of opted scheme, if required, shall be revised only after one year on written request by BO.
- The GST shall be levied as may be applicable from time to time.
- The billing shall be done on monthly basis and the payment shall be released by BO on due date else shall entail interest on outstanding amount @ 13% Per annum.
- The extra statement, if any, required shall be charged @ Rs.10/- per statement for first 10 pages, thereafter @ Rs.2/- per page. The Additional Charges, if any shall be leviable as may be imposed by CDSL.
- The Cheque if bounced, the BO shall be charges Rs.350/- or bank charges whichever is higher.
- The cost towards Stamp Duty payable on Agreement and/or on any deed/document or writing executed in pursuance to Demat Opening Account between the parties is included in the Application Charges.
- If a Client/BO opt for DDPI, DDPI Charges is Rs.50/- (One Time Only).

for CIL SECURITIES LIMITED

Authorised Signatory

The Charges and Terms and Conditions herein above are accepted.

(16)

Signature of First Holder

Signature of Second Holder

Signature of Third Holder

Voluntary
Declaration for availing of Basic Services Demat Account (BSDA) facility

To

Date:

M/s.CIL Securities Limited,
214, Raghava Ratna Towers,
Chirag Ali Lane, Abids,
HYDERABAD- 500001.

Dear Sir / Madam,

☐ I / We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form

☐ I / We do not wish to avail the BSDA facility for my / our below mentioned demat account number

DP ID	1	2	0	1	3	5	0	0	Client ID	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--	--

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/we also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first / Sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

AMC Charges Nil for holding valuation is less than Rs.4,00,000/-

AMC Charges Rs.100/- + GST for holding valuation between Rs.4,00,001/- to Rs.10,00,000/-

One Time Charges Rs.150/- for POA / DDPI (Optional) additional Instruction Slip Book (10 Slips) @Rs.50 plus courier charges

	Signature
Sole/First Holder	(16.a)
Second Holder	
Third Holder	

===== (Please tear here) =====

Acknowledgement Receipt

Received BSDA declaration form from:

DP ID									Client								
Name																	
Address																	

Date:

POWER OF ATTORNEY

ALL WHOM THESE PRESENTS SHALL COME I/We _____ **X17**
residing at / having its registered office at _____ **X18**
_____ send greetings

Whereas I/We hold Beneficial Owner Account Number 12013500 _____ with Central Depository Services India Limited (CDSL) through CIL Securities Limited, a Depository Participant registered with Securities and Exchange Board of India (SEBI).

And Whereas I/We am/are desirous to buy and sell securities through CIL Securities Limited who is a stock broker registered with SEBI and member of recognized Stock Exchanges/s.

And Whereas I/We am/are desirous of appointing CIL Securities Limited as my/our constituted attorney to operate my/our beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I/We do hereby nominate, constitute and appoint CIL Securities Limited (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorize it to perform the following functions on my behalf:

- i To transfer securities and mutual fund units held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat account numbers given below of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities and mutual fund units to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/We have opted for trading with the stock broker for such exchanges.
- ii "To pledge the securities in favor of **CIL SECURITIES LTD** for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized Stock Exchange through **CIL SECURITIES LTD** To re-pledge such securities to the clearing member / clearing corporation as the case may be" It may be noted that the pledge in our favour will be marked towards our following accounts:
- iii To return to me/us, the broker was not entitled to receive from securities and mutual fund units or funds that may have been received by the stock broker erroneously or those securities and mutual fund units or funds that the stockme/us.
- iv To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to oral/written/electronic instructions given by me/us to the stock broker.

S.No.	Company Name	DP ID	CLIENT ID	Exchange	Name/Type
1	CIL Securities Ltd	12013500	00086770	NSE	NSE POOL (CDSL)
2	CIL Securities Ltd	12013500	00035818	BSE	BSE POOL (CDSL)
3	CIL Securities Ltd	IN561774	20714776	NSE	NSE POOL (NSDL)
4	CIL Securities Ltd	IN609476	21067162	BSE	BSE POOL (NSDL)
5	CIL Securities Ltd	11000011	00019211	NSE	NSE EARLY PAYIN
6	CIL Securities Ltd	11000010	00012866	BSE	BSE EARLY PAYIN
7	CIL Securities Ltd	12013500	00109841	ALL	TM/CM CMPA
8	CIL Securities Ltd	12013500	00109856	NSE	Margin Funding Account
9	CIL Securities Ltd	12013500	00109934	NSE	SLBM Pool Account

I/We ratify the instructions given by the aforesaid stock to the depository participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock in his office at Hyderabad.

Signature of Sole/First Holder	Signature of Second Holder	Signature of Third Holder
(19) Signature of Witness:		I / We Accept (CIL SECURITIES LIMITED)
Name & Address:		K K MAHESHWARI MANAGING DIRECTOR DIN :00223241



(VOLUNTARY)

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

I / We agree to the terms and purpose of this DDPI document between Mr./Ms. _____
 _____ (First Holder)

_____ (Second holder) and _____ (Third holder); an individual/body of individuals/a sole proprietary concern/a partnership firm/a body corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act 2013, or any relevant Act or unregistered in nature; and CIL Securities Limited, a Company within the meaning of Companies Act, 2013 with its registered office at CIL Securities Limited, 214, Raghava Ratna Towers, Chirag Ali Lane, Abids, Hyderabad, Telangana, India.

Whereas:

- (a) I / We have established a business relationship with CIL Securities Limited to avail services w.r.t trading, investing & other services offered by CIL Securities Limited, having DP ID 12013500 & Client ID _____.
- (b) This DDPI document shall be in line with SEBI Circular no. SEBI/HO/MIRSD/DoP/P/CIR/ 2022/44, dated April 04, 2022, as may be updated from time to time, & I agree to the below two points;

S.No.	Purpose	Signature of Client
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	1 st Holder : x _____ 2nd Holder : x _____ 3rd Holder : x _____
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	1 st Holder : x _____ 2nd Holder : x _____ 3rd Holder : x _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1 st Holder : x _____ 2nd Holder : x _____ 3rd Holder : x _____
4.	Tendering shares in open offers through Stock Exchange platforms.	1 st Holder : x _____ 2nd Holder : x _____ 3rd Holder : x _____

I/We Accept
 (CIL SECURITIES LIMITED)

K K MAHESHWARI
 MANAGING DIRECTOR
 DIN : 00223241

SMS SMART
SMS Alerts Related to Transaction

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts, then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.

If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

(20)

1st Holder/ Authorised Sign

2nd Holder/ Authorised Sign

3rd Holder/ Authorised Sign

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository give s 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 inf ormation by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai. I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account / transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

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

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

BOID

1	2	0	1	3	5	0	0		0	0						
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name :

Second Holder's Name :

Third Holder's Name :

Mobile Number on which
messages are to be sent

+91														
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of: _____

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

Place: _____

Date: _____

(21)**1st Holder/ Authorised Sign****2nd Holder/ Authorised Sign****3rd Holder/ Authorised Sign**

AUTORISATION LETTER TO DEBIT DEMAT CHARGES

DT :

TO
CIL SECURITIES LIMITED (DP DIVISION)
214, RAGHAVA RATNA TOWERS CHIRAG ALI LANE, ABIDS, HYDERABAD – 500 001.

Dear Sir,

Sub:- Debiting all my demat charges to my Trading Account-reg.
Ref:- My Trading A/c.No.
My Demat A.C No.

I have my Demat Account (No.12013500000_____) with your DP and also have trading account at your end.

I request you to debit outstanding due and demat and transaction charges to my Trading Account as debited by DP Division from time to time.

This is my standing instruction to you until I revoke this.

Please do the needful

Thanking you Sir,

Yours Truly,

(Signature) < DP Acc No><Trading Acc No>

(22) _____
1st Holder/ Authorised Sign

2nd Holder/ Authorised Sign

3rd Holder/ Authorised Sign

FAMILY MEMBER DECLARATION

To Whom so ever it May Concern:

This is to certify that the following names are the members
of HUF (Name)

Sl.No	Name	Relation with Karta	Sex	Date of Birth	Age
1.					
2.					
3.					
4.					
5.					

Signature of the Applicant along with the HUF Stamp.

REQUEST LETTER FROM EXISTING BO FOR RECEIVING E-STATEMENT OF ACCOUNT

TO
CIL SECURITIES LIMITED
(DP DIVISION)
214, RAGHAVA RATNA TOWERS
CHIRAG ALI LANE, ABIDS,
HYDERABAD – 500 001.

Re: Beneficial Owner (BO) Account No.12013500000 _____

I/We _____ had entered into agreement dated _____ with you at the time of opening of the aforesaid BO Account.

Pursuant to the Amendment in Clause 3 of the Agreement (Annexure C to the Bye Laws of CDSL), i/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/out BO account. But, I/We reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

(Email address: _____)

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

Name/s of the Beneficial owner/s
(All Joint Holders)

Signature/s

1. _____
(First Holder Name)

(23) _____

2. _____
(Second Holder Name)

3. _____
(Third Holder Name)

OPTION FORM FOR ISSUE OF DISBOOKLET

To,

Date:

CIL SECURITIES LIMITED
(DP DIVISION)
214, RAGHAVA RATNA TOWERS
CHIRAG ALI LANE, ABIDS,
HYDERABAD – 500 001

Dear Sir /Madam,

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

☐ **OPTION1:**

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(24)		

OR

☐ **OPTION2:**

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(24)		

(Signatures should be preferably in black ink).

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

Acknowledgement Receipt

Application No.:

Date:

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

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

Depository Participant Seal and Signature