



# ALLWIN SECURITIES LIMITED

## MEMBER OF NSE & BSE



### CLIENT REGISTRATION FORM

CIN : U67120MH1995PLC085277

CAPITAL, DERIVATIVES & CURRENCY SEGMENT \* BSE & NSE \* SEBI REG. NO. INZ000239635  
DEPOSITORY \* CDSL \* SEBI REG. NO. – IN – DP – 25 - 2015

REGISTERED OFFICE: B - 205 / 206, Ramji House CHS Ltd,  
30, Jambulwadi, Kalbadevi Road, Mumbai - 400 002.

Tel: (022) 4344 6444 (25 Lines), Telefax: (022) 4344 6410

E-mail: [allwinsec@gmail.com](mailto:allwinsec@gmail.com)

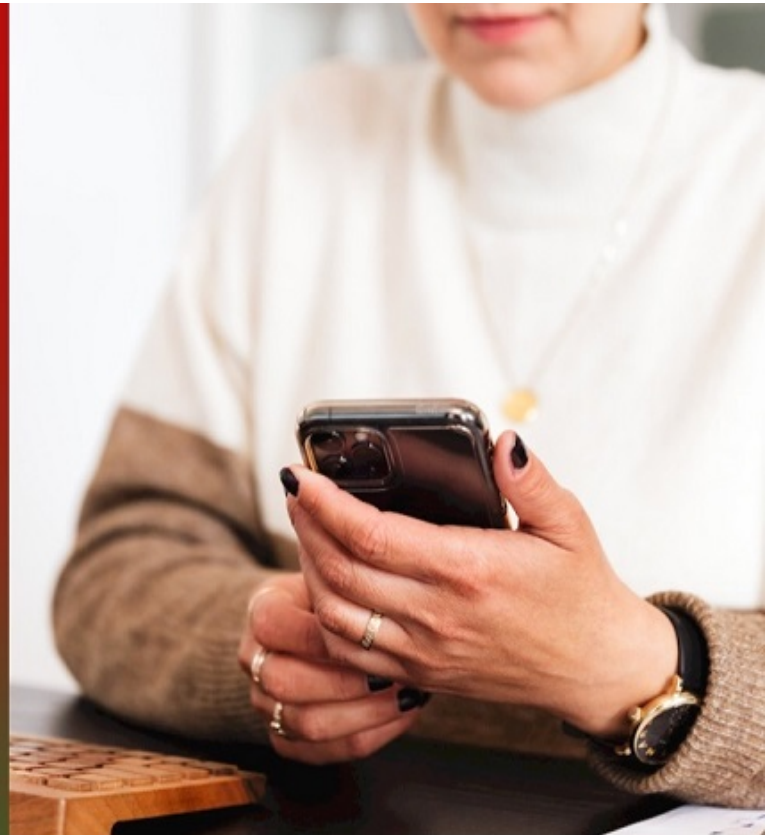
Website: [www.allwinsecurities.com](http://www.allwinsecurities.com)

**OPEN INSTANT ACCOUNT**

# Join Anywhere

With E-kyc, it's like opening  
account at your fingertips.

Allwin Securities Limited



• BO ID: 12064400

• CLIENT CODE :

• CLIENT NAME: 1.

2.

3.

• INTERNAL REFERENCE NO:

Products and Services offered under one roof

## Equities . Derivatives. Currency . Depository Services

## Allwin Securities Ltd.

### SEBI REGISTRATION DETAILS

SEBI Registration No. EQ, Derivatives & Currency	INZ000239635
SEBI Registration No. DP & Others	IN-DP-25-2015

REGISTERED OFFICE	B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 400002.
Phone No	022 - 43446444
Website	<a href="http://www.allwinsecurities.com">http://www.allwinsecurities.com</a>
Email	<a href="mailto:allwinsec@gmail.com">allwinsec@gmail.com</a>

Exchange Segment	Member ID	SEBI Registration No	
NSE - CM	12335	INZ000239635	
NSE - F&O			
NSE – CD			
NSE - Commodities			
BSE – CM			
BSE - F&O	951		
BSE – CD			
Depository	SEBI Registration No.		
CDSL	IN - DP - 25 -2015		

COMPLIANCE OFFICER	
Name	KAILASHCHAND MALLAWAT
Phone No.	9323377104
Email Id	<a href="mailto:kcmallawat@gmail.com">kcmallawat@gmail.com</a>
FOR ANY GRIEVANCE / DISPUTE PLEASE CONTACT:	
Exchange / Depository Contacts	National Stock Exchange of India Limited, Phone : 022-26598190   Email : <a href="mailto:ignse@nse.co">ignse@nse.co</a> .
	Bombay Stock Exchange Limited, Phone : 022-22728097   Email : <a href="mailto:is@bseindia.com">is@bseindia.com</a>
	Multi Commodity Exchange of India Ltd. Phone : +91-22-6731888, 6649 4000   Email : <a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>
	Central Depository Services India Limited, Toll Free no. : 1800-200-5533   Email : <a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>
You may also lodge your grievances with SEBI at <a href="http://scores.gov.in">http://scores.gov.in</a> . For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575/18002667575.	

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## ACCOUNT OPENING KIT

### INSTRUCTION TO THE APPLICANT FOR TRADING ACCOUNT OPENING

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/PIC 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.

### INSTRUCTION TO THE APPLICANTS (BO"s) FOR DEMAT ACCOUNT OPENING

1. Signatures can be in English or 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, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of 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.

## CHECK LIST

### **A. Proof of Identity (POI): - List of documents admissible as Proof of Identity:**

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

### **B. 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 I Driving License I 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 I Multinational Foreign Banks I Gazetted Officer I Notary public I 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.
9. For minor demat A/c both minor and guardian address proof required.

### **C 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, FIs, 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.

### **D 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 NRI's, 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.

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

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

**FIRST HOLDER**

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

**A. IDENTITY DETAILS****1. Name of Applicant** (As appearing in supporting identification Documents).

Name \_\_\_\_\_

Fathers/Spouse Name \_\_\_\_\_

**2. Gender**☐ Male☐ Female**B. Marital Status**☐ Single☐ Married**C. Date of Birth** \_\_\_\_\_**3. Nationality**☐ Indian☐ Others \_\_\_\_\_**4. Status** (Please tick ☒ ☐ Resident Individual ☐ Non Resident ☐ Foreign National

Passport Copy mandatory for NRI's and foreign Nationals

**5. PAN** \_\_\_\_\_

Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any \_\_\_\_\_

**6. Proof of Identity submitted for PAN exempt case** (Please tick ☒ )☐ UID Aadhaar☐ PassPort☐ Voter ID☐ Driving Licence☐ Others \_\_\_\_\_**B. Address Details****1. Address of Correspondance**\_\_\_\_\_  
\_\_\_\_\_

City / Town / Village \_\_\_\_\_

Pin Code \_\_\_\_\_

State \_\_\_\_\_

Country \_\_\_\_\_

**2. Contact Details**

Tel. (Off) \_\_\_\_\_

Tel. (Res) \_\_\_\_\_

Mobile \_\_\_\_\_

FAX \_\_\_\_\_

Email ID \_\_\_\_\_

**3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick( ☒ ) against the document attached.**☐ Passport☐ Ration Card☐ Registered Lease/Sale Agreement of Residence☐ Driving Licence☐ Voter Identity Card☐ \*Latest Bank A/C Statement /Passbook☐ \*Latest Telephone Bill(Only Land Line)☐ \*Latest Electric Bill☐ \*Latest Gas Bill☐ Others Please Specify \_\_\_\_\_\*Not more than 3 months old **Validity/Expiry date of proof of address submitted.** \_\_\_\_\_**4. Permanent Address of Resident Applicant if different from above B1 OR Overseas address(Mandatory) for Non-Resident Applicant**\_\_\_\_\_  
\_\_\_\_\_

City / Town / Village \_\_\_\_\_

Pin Code \_\_\_\_\_

State \_\_\_\_\_

Country \_\_\_\_\_

**5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick( ☒ ) against the document attached.**☐ Passport☐ Ration Card☐ Registered Lease/Sale Agreement of Residence☐ Driving Licence☐ Voter Identity Card☐ \*Latest Bank A/C Statement /Passbook☐ \*Latest Telephone Bill(Only Land Line)☐ \*Latest Electric Bill☐ \*Latest Gas Bill☐ Others Please Specify \_\_\_\_\_\*Not more than 3 months old **Validity/Expiry date of proof of address submitted.** \_\_\_\_\_**6. Any Other Information** \_\_\_\_\_**DECLARATION****SIGNATURE OF APPLICANT**

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 and the same will render my account liable for termination and suitable action.

PLACE \_\_\_\_\_

DATE \_\_\_\_\_

**OFFICIAL USE ONLY**☐ (Original verified) Self certified document copies received☐ (Attested) True Copies of Document received. Main intermediary.

Code - \_\_\_\_\_

Details of Employee / Intermediary	Documents verified with Originals by	Client interviewed By & In-Person Verification done by
Staff Name		
Empl. / Int Code & Designation		
Signature		
Date		

# CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

## Important Instructions:

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



**For Office use only** Application Type\* ☒ New ☐ Update  
 (To be filled by financial institution) KYC Number \_\_\_\_\_ (Mandatory for KYC update request)  
 Account type\* ☒ Normal ☐ Simplified (for low risk customers) ☐ Small ☐ OTP based E-KYC

## ☒ 1. PERSONAL DETAILS (Please refer instruction A at the end)

Prefix	First Name	Middle Name	Last Name	
<input checked="" type="checkbox"/> Name* (Same as ID proof)	_____	_____	_____	
Maiden Name (If any*)	_____	_____	_____	
Father / Spouse Name*	_____	_____	_____	
Mother Name*	_____	_____	_____	
Date of Birth*	_____	_____	_____	
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	LONGITUDE
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> In-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="checkbox"/> <input type="checkbox"/> )		LATITUDE
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		DATE & TIME
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student )	
	<input type="checkbox"/> B-Business <input type="checkbox"/> Forex Dealer			
	<input type="checkbox"/> X- Not Categorized			

PHOTO

Signature / Thumb Impression

## ☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\* \_\_\_\_\_

Tax Identification Number or equivalent (If issued by jurisdiction)\* \_\_\_\_\_

Place / City of Birth\* \_\_\_\_\_ ISO 3166 Country Code of Birth\* \_\_\_\_\_

## ☒ 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	_____	Passport Expiry Date	_____
<input type="checkbox"/> B- Voter ID Card	_____		
<input type="checkbox"/> C- PAN Card	_____		
<input type="checkbox"/> D- Driving Licence	_____	Driving Licence Expiry Date	_____
<input type="checkbox"/> E- UID (Aadhaar)	_____		
<input type="checkbox"/> F- NREGA Job Card	_____		
<input type="checkbox"/> Z- Others (any document notified by the central government)	_____	Identification Number	_____
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	_____	Identification Number	_____

## 4. PROOF OF ADDRESS (PoA)\*

### ☒ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of anyone of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	_____	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	_____			

## Address

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

District\* \_\_\_\_\_ Pin / Post Code\* \_\_\_\_\_ State / U.T Code\* \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

ISO 3166 Country Code\* \_\_\_\_\_



☒ **4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \*** (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

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

☐ **4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\*** (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1\* \_\_\_\_\_  
Line 2 \_\_\_\_\_  
Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_  
State\* \_\_\_\_\_ ZIP / Post Code\* \_\_\_\_\_ ISO 3166 Country Code\* \_\_\_\_\_

☒ **5. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel.(Off) (std) \_\_\_\_\_ Tel.(Res)(std) \_\_\_\_\_ Mobile \_\_\_\_\_  
FAX \_\_\_\_\_ Email ID \_\_\_\_\_

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1' ) (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\* ☐ Guardian Of Minor ☐ Assignee ☐ Authorized Representative  
Prefix First Name Middle Name Last Name

Name\* \_\_\_\_\_

(If KYC number and name are provided, below details of section 6 are optional)

**PROOF OF IDENTITY [PoI] OF RELATED PERSON\*** (Please see instruction (H) at the end)

☐ A- Passport Number \_\_\_\_\_ Passport Expiry Date \_\_\_\_\_  
☐ B- Voter ID Card \_\_\_\_\_  
☐ C- PAN Card \_\_\_\_\_  
☐ D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date \_\_\_\_\_  
☐ E- UID (Aadhaar) \_\_\_\_\_  
☐ F- NREGA Job Card \_\_\_\_\_  
☐ Z- Others (any document notified by the central government) \_\_\_\_\_ Identification Number \_\_\_\_\_  
☐ S- Simplified Measures Account - Document Type code \_\_\_\_\_ Identification Number \_\_\_\_\_

☐ **7. REMARKS (If any)**

**8. APPLICANT DECLARATION**

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

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date \_\_\_\_\_ Place \_\_\_\_\_

Signature / Thumb Impression of Applicant

**9. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☒ Certified Copies

KYC VERIFICATION CARRIED OUT BY	
Employee Name	
Organization	
Branch ID	
Designation	
Date	
Signature	

**INSTITUTION DETAILS**

Name Allwin Securities Ltd.

Code \_\_\_\_\_

Institution Stamp

**ADDITIONAL KYC FORM FOR OPENING TRADING AND DEMAT ACCOUNT (for Individual )**

<input type="checkbox"/> Demat Account	<input type="checkbox"/> Individual Account
<input checked="" type="checkbox"/> Trading Account	<input checked="" type="checkbox"/> Individual Account

**(To Be Filled By The Depository Participant)**

Application No.		DP Internal Reference No.	
Date		Client Trading Code	
DP ID	12064400	Client ID	

(To be filled by the Application in BLOCK LETTER in English)

I/We request you to open a Demat and Trading Account in My/Our name as per the following details :

<b>Holders Details</b>			
Sole / First Holder's Name	Name		PAN _____ UID _____
	Search Name		PAN _____ UID _____
Second Holder's Name (For Demat Account))			PAN _____ UID _____
Third Holder's Name (For Demat Account)			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.

**STATUS FOR INDIVIDUAL DEMAT A/C**

Type of Account (Please tick whichever is applicable)	
Status (For Individual)	Sub - Status
<input checked="" type="checkbox"/> Individual	<input checked="" 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			
<b>FOR DAMAT ACCOUNT</b>			
1	Received dividend / interest directly into bank account through account ECS	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2	Receive each and every credit directly into account	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3	Instruct DP to accept all pledge instructions in BO's favour without any further instruction from BO'S	<input type="checkbox"/> Yes <input type="checkbox"/> No	
4	Issue Delivery Instruction Slip (DIS)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
5	DP Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly	
6	Share Email ID with Registrar & Transfer Agent (RTA)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
7	Require Annual Report	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both	
8	Avail SMS Alert Facility on Mobile Number	<input type="checkbox"/> YES <input type="checkbox"/> NO	
9	I/We request you to send Electronic Transaction-cum-Holding Statemnt at the email ID	<input type="checkbox"/> Yes <input type="checkbox"/> No	
10	Declaration for Mobile Number - Registered in the name of:	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent  Name :	
11	Avail TRUST Facility provided by CDSL for below clearing member: Stock Exchange Name / ID : BSE, NSE and MSEI Member Name: ALLWIN SECURITIES LTD.	<input type="checkbox"/> YES <input type="checkbox"/> NO	
<b>ADDITIONAL DETAILS</b>			
<b>Experience</b>	Number of years of Investment / Trading Experience		
<b>Gross Annual Income</b>	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> > 25 Lacs – 1 Crore <input type="checkbox"/> > 1 Crore Net worth as on (Date) _____ RS _____ [ Net worth should not be older than 1 year]		
<b>Occupation</b>	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. of Service <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (specify _____)		
<b>PEP</b>	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)		

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

DATE :

To,

Allwin Securities Ltd.

B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 400002.

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 the new account for which we have submitted my / our account opening form

☐ I / We wish to avail the BSDA facility for my / our below mentioned demat account number

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

<b>DP ID</b>	12064400	<b>Client ID</b>	
--------------	----------	------------------	--

	<b>Name</b>	<b>PAN</b>
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 / converted under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the Allwin Securities Limited.

I/We wish to avail the SMS Alert Facility provided by Depository on +91 \_\_\_\_\_ My/our mobile No.

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.

	<b>Signature</b>
Sole/First Holder	
Second Holder	
Third Holder	

**\* Marked as mandatory field**

This nomination shall supersede any prior nomination made by me I us and also any testamentary document executed by me I us.

**Note: One witness** shall attest signature(s) I thumb impression(s)

Details of the Witness		
	<b>First Witness</b>	<b>Second Witness</b>
Name of witness		
Address of witness		
Signature of witness		

(Signatures should be preferably in black ink).

	<b>First/Sole Holder / Authorised Signatory / Guardian (in case of Minor)</b>	<b>Second Holder / Authorised Signatory</b>	<b>Third Holder / Authorised Signatory</b>
Name			
Signature			
Designation (for non individual only)			

**OTHER DETAILS**

**A. BANK ACCOUNT DETAILS** ( First Bank A/c. is Default Bank A/c. through which transaction will generally be routed )

Bank Name	Branch Name & Address	Type of A/c	Bank A/c No.	MICR Code.	IFSC Code

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

**TRADING PREFERENCE (PLEASE SIGN AGAINST THE SEGMENT)**

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

Segment	BSE	NSE	MCX-SX
Cash	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F&O	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Currency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interest Rate Future			

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter have to be submitted by client to the stock broker..

**C. DEPOSITORY ACCOUNT(S) DETAILS** ( First Depository A/c. is Default Depository A/c. )

Particulars	(1)	(2)
DP Name		
Depository Name		
Beneficiary Name		
DP ID		
BO ID		

**D. PAST ACTIONS**

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

NO

**E. Dealing Through Authorised Person and Other Stock Brokers**

- If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name : \_\_\_\_\_ SEBI Registration number : \_\_\_\_\_

Registered Office address: \_\_\_\_\_

Ph. No. \_\_\_\_\_ Fax No. \_\_\_\_\_ Website:www. \_\_\_\_\_

- 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 Authorised Person, if any	Client Code	Exchange

Details of disputes/dues pending from/to such stock broker/sub- broker: .....

**F. Additional Dtails**

- Whether you wish to receive ☐ Physical contract note ☐ Electronic Contract Note(ECN)

Specify your Email id, ifECN \_\_\_\_\_

Signature of Client: \_\_\_\_\_

- Whether you wish to avail of the facility of Internet Trading I wireless technology ☐ Yes ☐ No

Signature of Client: \_\_\_\_\_

- Number of years of Investment/Trading Experience \_\_\_\_\_

- In case of non-individuals, name, designation, PAN, UID, signature, residential, address and photographs of persons authorised to deal in securities on behalf of company/firm/others: \_\_\_\_\_

- Any other information: \_\_\_\_\_

### G. Introducer Details (Optional)

Name of Introducer: _____	
Address of the Introducer: _____	
Status of the Introducer: <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client	
<input type="checkbox"/> Others, Please Specify _____	
Phone No.: _____	Signature of Introducer: _____

### DECLARATION

1. 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 I Particulars mentioned by me/ us in this form. I/We further agree that any false I misleading information given by me/ us or suppression of any material information will render my account liable for termination and suitable action.
2. 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.
3. 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.
4. 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.
5. I would like to receive following standard document in ☐ Physical ☐ Digital mode through on my e-mail id mention in the form  
For DP → ■ Terms & Conditions For TRUST service of CDSL ■ Rights & Obligation for Bo's Depository participant.  
For Trading → ■ Policies & Procedure ■ Rights & Obligation ■ Risk disclosure documents ■ Do's & Don'ts.

Attach recent passport size photographs in the space provided below:

First / Sole Holder

Please sign across the photograph
---

Second Holder

Please sign across the photograph
---

Third Holder

Please sign across the photograph
---

		
---	---	---

Signature of Client/ (all) Authorized Signatory (ies)

Place: \_\_\_\_\_

Date : \_\_\_\_\_

**OFFICE USE ONLY**

UCC Code allotted to the Client \_\_\_\_\_

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee Autho. Person/ Sub Broker			
Employee Code Autho. Person/ Sub Broker			
Designation of the employee			
Date			
Signature			

I/We undertake that we have made the client aware of Policy and Procedures', tariff sheet and all the nonmandatory 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 onmandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and bligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For **Allwin Securities Ltd.**

Date : \_\_\_\_\_

Seal / Stamp of stock broker

Director/ Authorised Signatory

**INSTRUCTION CHECK LIST**

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 ownership of assets.	Self declaration with relevant supporting documents.

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

2. 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 in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the nonresident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, • Magistrate, Judge, Local Banker, Indian Embassy I Consulate General in the country where the client resides may be permitted.



# FATCA/CRS Declaration Form – (Individual)

## 1 First/ Sole Applicant / Guardian

Name \_\_\_\_\_

Gender ☐ Male ☐ Female ☐ other

Father's Name \_\_\_\_\_

PAN \_\_\_\_\_ Customer IDIFolio NO \_\_\_\_\_

Occupation ☐ Service ☐ Business ☐ others Specify \_\_\_\_\_

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

Type of address given at KRA ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office

Permissible documents are ☐ Passport ☐ Election ID Card ☐ Pan Card ☐ Govt. ID Card ☐ Driving Licence

☐ UIDAI Card ☐ NREGA Job Card ☐ Others Specify \_\_\_\_\_

Date of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_ Country of Birth \_\_\_\_\_ Nationality 0

Are you a tax resident of any counby other than India? ☐ Yes ☐ No

Ifyes, please indiclle all countries inwhich you are resident for tax purposes and the associated Tax ID Numbers below.

Country*	Tax Identification Number*	Identification Type(TIN or other, please specify)
--N.A.--	--N.A.--	--N.A.--

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

## 2 SECOND APPLICANT

Name \_\_\_\_\_

Gender ☐ Male ☐ Female ☐ other

Father's Name \_\_\_\_\_

PAN \_\_\_\_\_ Customer IDIFolio NO \_\_\_\_\_

Occupation ☐ Service ☐ Busines ☐ others Specify \_\_\_\_\_

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

Type of address given at KRA ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office

Permissible documents are ☐ Passport ☐ Election ID Card ☐ Pan Card ☐ Govt. ID Card ☐ Driving Licence

☐ UIDAI Card ☐ NREGA Job Card ☐ Others Specify \_\_\_\_\_

Date of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_ Country of Birth \_\_\_\_\_ Nationality \_\_\_\_\_

Are you a tax resident of any counby other than India? ☐ Yes ☐ No

Ifyes, please indiclle all countries inwhich you are resident for tax purposes and the associated Tax ID Numbers below.

Country*	Tax Identification Number*	Identification Type(TIN or other, please specify)

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

## 4 CERTIFICATION

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

First/ Sole Applicant I Guardian

SECOND APPLICANT

THIRD APPLICANT

POWER OF ATTORNEY HOLDER

Place \_\_\_\_\_ Date \_\_\_\_\_

### BROKERAGE TABLE (SUBJECT TO CHANGE)

	1st Leg		2nd Leg (Same Day)	
Brokerage	% age	Min	% age	Min
Delivery				
Trading				
Derivatives				
Options				
Currency				

Note:

1. Minimum brokerage - If the client is unable to generate a brokerage of Rs. 25/- in single contract note for a given segment on a single day, client will be levied differential brokerage up to Rs.25/- or 2.5% of turnover, whichever is lower.
2. The Member shall charge in addition to the brokerage mentioned herein above, other charges like Stamp Duty, Securities Transaction Tax, Service Tax, Turnover Charges, Clearing Charges etc. as may be applicable from time to time.
3. The Member shall charge account opening charges for Rs.150 plus applicable taxes.
4. I/We here by consent to keep Rs. 1000/- in my/our ledger as deposit.

SIGNATURE



Client Name

Client Code

Branch Code

Introducer's Name

Employee / Client / Introducer Code

## CHARGES FOR DEPOSITORY SERVICES

### Select the Scheme

Particulars	<input type="checkbox"/> Investor Schemes	<input type="checkbox"/> HNI / Trader Schemes
	Rs. 250 AMC Plan	Rs. 600 AMC Plan
Scheme Code	S0002	S0004
Demat AMC Charges	Rs. 250/-	Rs. 250/-
Purchase Transactions (Credit Transactions)	Nil	Nil
Sales through Allwin (Debit Transactions)	Rs. 10 / Scrip	Rs. 10 / Scrip
Sales not through Allwin/ Off-Market Transfers (Debit Transactions)	Rs. 18 / Scrip	Rs. 18 / Scrip

### Special Note:

1. For HNI /Trader Schemes (Scheme Codes S0004 & S0005), there will be no transaction charges for pay-in done through Allwin Securities Ltd., Margin account (withhold account).
2. Under Zero AMC Pan, statement and other documents will be sent via e-mail only.


### Other Charges:

1. In case of a Corporate Account, CDSL AMC will be charged as per Scheme: CO-30002 AMC Rs. 750/- and Scheme:CO-S0004 AMC Rs. 1100/- and the rest of the charges will remain the same as per the above schemes.
2. For Dematerialization, Rs.2/- per certificate plus Rs.35/- per request will be charged. Rs.20/- for postage shall be charge additionally.
3. In case of Rematerialization, Rs.25/- per request plus Rs.20/- for postage shall be levied.
4. In case of any Pledge Creation, Rs.25/- will be charged per pledge and unpledge transaction.


### Note:

1. Cheque for AMC scheme chosen above will need to be enclosed along with application form.
2. Service tax, Education cess and other statutory levies (if any) will be charged extra whenever applicable as per the prevailing rate.
3. Fees schedule are based on the existing CDSL / NSDL charges and may be changed at our discretion and will be informed before 15 days of implementation.
4. Interest upto 1% per month may be levied for non-payment of bill.


I / We hereby authorise you to debit and / or withdraw the money from my / our trading account opened with you to pay my / our dues for the Depository account. I/We hereby consent to keep Rs, 10007- as interest free deposit in my/our ledger towards meeting of my/our depository related charges.



Sole / First Holder



Second Holder



Third Holder

Name :

Name :

Name :

**A. Refusal of orders/restrictions on trading in penny stocks and illiquid stocks:**

We define Penny stocks as those stocks where the market price is below or close to par, with the company financials being weak with indicators such as loss, accumulated losses, low sales revenue, low or negative net-worth, signs of inactivity in the company, which are having very less value. Allwin Securities Limited (ASL) may from time to time identify such stocks and put trading restriction on the trades in such penny stocks. In addition to these stocks ASL may also include other stocks in the list of restricted stocks such as stocks in Z category, Trade to Trade Settlement or TS category, the scrips which are included in the list of illiquid scrips by the exchange/s or any other scrip which ASL deem fit for the purpose putting trading restriction. The restriction on above stocks may be as to the price, quantity or mode of placement of orders. Accordingly ASL reserves the right to disable certain scrips for trading on online trading facility/authorised person/branch trading terminals or put quantity or price restrictions while putting trade orders. In such case, client may be allowed to place the trades subject to certain restrictions, through ASL's centralized dealing desk after enhanced due diligence of the orders. In case of clients using internet trading facility, they may not find the scrip name or may not be able to place any order in the scrip, if such scrip is one of the restricted scrips. A client can enquire with ASL's dealer or customer service executive about any trading restriction on any scrip. The above referred restrictions are placed on the trading activities of the client as these stocks are exposed to price rigging and other market manipulative activities. Further, ASL as a member of the stock exchanges is expected to have proper surveillance and monitoring mechanism on the trading activities of their clients, particularly on penny and illiquid scrips. Clients may note that ASL shall have right to reject the orders placed by the Client and/or put circuit breakers to discourage trades getting executed at unrealistic prices from the current market price of the security or prohibit the Client from trading in illiquid securities which creates artificial liquidity or manipulates prices or to discourage Client from cross/ synchronized trading and ASL shall not be liable for any loss arising out of non acceptance or rejection of the Client orders for any such reason if the Client fails to give sufficient reason for placing such orders.

**B. Client dealing:**

Margin trading facility is provided in NSE cash segment. The margin facility will be carried on the basis of interest payable every month.

**C. Setting up client's exposure limits:-**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject to any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure. Realization of the funds from the said bank instrument etc, at in case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

**D. Applicable brokerage rate: -**

Brokerage will be charged within the limits prescribed by SEBI/Exchange. Brokerage will be charged to the client based on the brokerage rates specified in the account opening form or as per the product/scheme opted by the client from time to time. However, any increase in brokerage rate either be done with the consent of the client in writing or at the discretion of ASL by giving 15 days advance notice to the client. The brokerage rate shall be within the permissible limit set by SEBI/Exchanges.

**E. Delayed Payment Charges:**

In order to comply with the above requirement, the following policies and procedures are prescribed by Allwin Securities Limited (herein referred as ASL or the company) and shall be subject to any charge from time to time in future and would be applicable to authorised persons and all clients of the company. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (this must not result in funding by the broker in contravention of the applicable laws). Delayed payment charges / charges on Exposure against collaterals: Pursuant to Exchange bye-laws, the Member broker is currently required to make pay-in of funds to the Exchange by T+2 morning and arrange delivery of securities to the Exchange latest by T+2 morning. Further Member broker is also required to maintain adequate upfront margins with the Exchange to avail exposure for trading. The Exchanges have also defined the ratios in which the cash and collaterals are to be deposited and maintained by the Member broker. In addition the Exchange required the member broker to deposit some of the margins like MTM, in Cash only. In order to manage its working capital, ASL requires fullest cooperation of the clients in meeting their respective obligation towards pay-in and margins. ASL may therefore charge a delayed payment penalty, on monthly basis on account of delays/ failure by the client in meeting the pay-in obligations on the scheduled date and also where the clients take exposure in F&O segment by depositing collaterals in a ratio which is disproportionate to the Cash versus collaterals ratios prescribed by the Exchanges, While levying delayed payment charges on the debit balance in the running account of a client, ASL, may not consider any credit balance in the other family or group account of the client. If the client fails to make payment of the amount due within the time frame specified by ASL, it shall be entitled to levy such charges by way of penalty payment charges 24% + (Applicable GST) per annum on account due. This levy is only penal measure in case client defaults in meeting settlement and margin obligations and should not be construed as funding arrangement by the client and further the client cannot demand continuation of service on a permanent basis by citing this levy of delayed payment charges.

**F. The right to sell client's securities or close clients' positions, without giving notice to the client, on account of nonpayment of client's dues:**

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations. The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker's designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/ or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion. Company on best effort basis will try and inform the client and give him reasonable time for payment. However it will be the responsibility of client to track his margins/obligations by going through margin statements sent to the client on daily basis. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all 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, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

**G. Shortage in obligations arising out of internal netting of trades:-**

Stock broker shall not be obliged to deliver any security or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The policy and procedure for settlement of shortage in obligations arising out of internal netting of trades is as under.

1. The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Paying/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
2. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
3. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher Of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

**H. Physical Settlement of Future & Option Contracts:-**

with reference to SEBI Circular No. SEBI/HO/MRD/DP/CIR/P/P/2018/67 dated 11.04.2018, all client having positions in respect of contracts identified by Exchange shall be physically settled:

- All open futures positions after close of trading on expiry day
- All in-the-money contracts which are exercised and assigned

The current facility of do-not-exercise provided for Close to Money (CTM) option contracts shall continue to be applicable in respect of stocks which are identified for physical settlement. In respect of option contracts where buyer has opted for do-notexercise such contracts shall not be exercised.

The settlement obligations shall be computed as under

**a. Unexpired Futures**

- Long futures shall result into a buy (security receivable) positions
- Short futures shall result into a sell (security deliverable) positions

**b. In-the-money call options**

- Long call exercised shall result into a buy (security receivable) positions
- Short call assigned shall result into a sell (security deliverable) positions

**c. In-the-money put options**

- Long put exercised shall result into a sell (security deliverable) positions
- Short put assigned shall result into a buy (security receivable) positions

The quantity to be delivered/ received shall be equivalent to the market lot \* number of contracts which result into physical settlement

The settlement obligation value shall be computed as under

- a. Futures – Settlement obligations shall be computed at futures final settlement price of the respective contract. (The difference between previous day settlement price/trade price and final settlement price on the expiry date shall be cash settled along with daily MTM on T+1 basis as currently being done)

Options – Settlement obligation shall be computed at respective strike prices of the option contracts.

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

Under following circumstance a client may not be allowed to take further position and if required the existing position in his account may also be closed ;

1. If there is a continuous debit balance in client account

<ol style="list-style-type: none"> <li>2. If there is insufficient margin in client's account requires to maintain his open position If the client is not responding satisfactorily to the company/ regulatory enquiry on trades undertaken by him explaining the rationale for transaction or fails to provide documents to prove beneficial ownership of shares, submit proof of income/ net worth etc.</li> <li>3. If there is an order by SEBI or any other appropriate authority debarring the client account.</li> <li>4. In case the scrip or member limits are breached or likely to be breached in the derivatives market segment</li> <li>5. In Case of dormant / inactive account and</li> <li>6. At the discretion of the company by giving written notice to the client</li> </ol>	
<p><b>I. KYC &amp; DP related</b></p> <ol style="list-style-type: none"> <li>1. Client code activation duly filled and with proper document is within 96 hrs of the application received</li> <li>2. Client can be deactivated from trading on written request, provided the client account is settled. If the clients want to reopen the account he has to complete the KYC requirement again.</li> </ol>	
<p><b>J. Temporarily suspending or closing a client's account at the client's request:</b></p> <p>A client can request for temporary suspending or for permanently closing his account. For permanent closure, client has to give a notice of one month and clear the dues, if any, in his account. Client account may be suspended by the company at any time:</p> <ol style="list-style-type: none"> <li>1. On Directions received from any regulatory authorities.</li> <li>2. If client is not responding to the queries raised by the company related to his trade activities.</li> <li>3. If there is not a single active demat account linked to trading account.</li> <li>4. Due to any other non compliance observed in the account.</li> </ol>	
<p><b>K. Deregistering a client :-</b></p> <p>Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:</p> <ol style="list-style-type: none"> <li>I. If the actions of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.</li> <li>II. If there is any commencement of a legal process against the client under any law in force;</li> <li>III. On the death/lunacy or other disability of the Client.</li> <li>IV. If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership.</li> <li>V. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;</li> <li>VI. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;</li> <li>VII. If the Client is in breach of any term, condition or covenant of this Agreement;</li> <li>VIII. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;</li> <li>IX. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;</li> <li>X. If the Client has taken or suffered to be taken any action for its reorganization, liquidation or dissolution;</li> <li>XI. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver</li> <li>XII. If any covenant or warranty of the Client is incorrect or untrue in any material respect;</li> <li>XIII. On the order from the Appropriate authority.</li> <li>XIV. In accordance with the provision of arrangement entered into with the client</li> </ol>	
<p><b>L. Inactive Client account: -</b></p> <p>Client account will be considered as inactive if the client does not trade for period OF SIX MONTHS. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account With updated documents.</p>	
<p><b>M. No Interest on Security / Fund Deposit:-</b></p> <p>Securities deposited with our organization will always be interest free and same will be adjusted from any outstanding dues in client account.</p>	
<p><b>N. Obligation from Connection failure</b></p> <p>Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. There exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond our control and may result in delay in processing or not processing buy or sell Orders either in part or in full. We shall not be responsible for any such failure or in squaring off the trades 15 minutes before the market closes client shall be ready for delivery and fund obligations. Future notifications and ruling of exchange and SEBI will be intimated and incorporated in this document from the date of implementations.</p>	
<p><b>O. Actual settlement of funds and securities:-</b></p> <p>As per SEBI circular MIRSD/ SE /Cir-19/2009 dated Dec 03, 2009, Exchange Circular NSE/INSP/13606 dated Dec 03, 2009, clarification circulars NSE/INSP/14048 dated Feb 03, 2010 and NSE/INSP/21651 dated Sep 07, 2012, the settlement of funds and / or securities shall be done within 1 working day of the payout, unless client specifically authorizes the trading member in writing to maintain a running account to be Settled quarterly/monthly as per preference of the client. We will retain an amount of Rs 10000 of all active client only after taking the written consent of the client. We will retain additional margin requirement of maximum up to 125% of margin requirement on the day of settlement to take care any margin obligation arising in next 5 days in Derivative segment.</p>	

In equity segment, we will retain maximum 200% of the aroused obligation on the day of settlement. For Debit Clients, we will retain Stock to the maximum of 200% of Debit Amount without Haircut. Payment mode from any other account will be treated as "Third party". In this circumstance, third party funds and securities will be accepted towards settlement and/or margin obligation.

**P. Penal Charges that may debited to the client's account:**

ASL reserve the right to debit client's ledger for any penal chargers that may be charged by the Exchanges/ depositories on ASL on the client level for any default/ violation of exchange guidelines/ requirements occurring due to omission or commission of any act on the part of the client .

This may include penalty for:

- Shortly delivery of securities
- Violation of client level position limit
- Shortfall in Margin Payment
- Client Code modification

ASL shall have the right to recover such charges like any other trade dues payable by the client recover the same by selling his securities

**Q. Third Party funds and securities:**

Allwin Securities Limited requires all its clients to make payout of funds & securities from the account held in their name towards their settlement and margin obligation. Similarly, payout of funds will be made in client name and securities will transfer only to demat account held in client name & registration with ASL. Proof regarding account being held in client's name i.e. copy of cheque book/bank statement in case of funds and copy of DP master in case of securities needs to be provided by the client. Receipt of funds/securities will be accepted only from these accounts. Payment made from any other account will be treated as "third party". In no circumstance, third funds and securities will be accepted toward settlement and/or margin obligation. In case if ASL observes that payment of funds and securities toward payin/margin obligation has been met from third party account, ASL reserves right not to give credit of fund/ securities to client given and return the same to the source account from where funds/securities were received. Client will be solely liable on account of any shortfalls on meeting payin/margin obligation in this regard. Wherever, client gives POA on demat account to ASL, ASL treats the securities lying in the accounts as securities margin. Therefore, client needs to ensure that only securities belonging to the client are retained in the accounts and appropriate proof regarding purchase/gift etc. needs to be provided to ASL. In absence of the same, ASL reserves right to transfer the securities to source account from where securities were transferred to POA demat account. In case client transfers securities to POA account from third party account and sell the securities, ASL reserves the right withhold the payout till client obtains NOC from the account hold from whose account shares were transferred for sale.

**R. Additional Risk/Obligation/ Liability Statement in the case of trading through Wireless Technology.**

These terms contained in the present are in additional to and concurrent with term of right and obligation prescribe the SEBI wide its circular no. MIRSD/16/2011 dated august 22, 2011 as amended from time to time. Following are the additional feature, risk responsibilities, obligation and liabilities associated with the securities trading using wireless technology to CLIENT who wish to avail any such facilities from the Stock Broker/ MEMBER.

**S. Securities Trading using Wireless Technologies (STWT)**

The CLIENT agrees that the MEMBER shall not be liable or responsible for non-execution of the order of the CLIENT due to any link/system failure at the CLIENT/MEMBER/EXCHANGE end.

The stock exchange may cancel a trade su-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contact(s) with CLIENT.




The Information Regarding order and trade confirmation shall be provided on the device of the client in case of securities trading through the use of wireless technology.

The Client is aware that as it may not be possible to give detailed information on a hand held device e.g mobile phones etc. minimum information would be given with the address of the internet website/ webpage where detailed information would be available.

**T. Client Acceptance of Policies and Procedures stated here in above:**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses of this document in any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including

delayed receipt / non receipt or any other reasons Whatsoever These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator / mediator etc.

Client Signature (1st Holder)	Client Signature (2nd Holder)	Client Signature (3rd Holder)
		

1. **Setting up Client's exposure limits:-** ASL may from time to time impose and vary limits on the orders that the client can place through its trading system (including exposure limits, turnover limits, limits as to the number, value in respect of which orders can be placed etc.). The client is aware and agrees that ASL may need to vary or reduce the limits or impose new limits urgently on the basis of its risk perception and other factors considered relevant by it including but not limited to limits on account of exchange / SEBI directions etc.
2. **Applicable brokerage rate.** The Commodity broker is entitled to charge brokerage within the limits imposed by exchange. However brokerage and other charges as agreed by the Client is indicated and duly signed by the client under brokerage slab. If there is any upward revision of brokerage, the same will be informed to the client with 15 days prior notice. For any downward movement, the same would be done on immediate basis post intimation to Client.
3. **Imposition of penalty / delayed payment charges by either party, specifying the rate and the period ( this must not result in funding by the broker in contravention of the applicable laws):-**  
The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to ASL will be charged with delayed payment charges at the maximum rate of 24% p.a.+ GST Applicable. The client agrees that ASL may impose fines/ penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/Rules/Regulation/Bye laws of the exchange or any other law for the time being in force at such rates and in such form as it may deem fit. Further where the Commodity broker 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 order/trades/deals/actions of the client the same shall be borne in actual by the client.
4. **The right to sell clients' securities or close clients' positions, without giving notice to the clients , on account of nonpayment of client's dues ( this shall be limited to the extent of settlement /margin obligation):-**  
The client shall ensure timely availability of funds in designated form and manner for meeting his/her/its pay in obligation of funds. ASL shall not be responsible for any claim/loss/damage arising out of non availability of funds by the client for meeting the pay in obligation of either funds.  
ASL has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions commodities at the pre-defined square off time or when Mark to Market loss (M-T-M) reaches the speculated % or margin available with the broker is not sufficient to cover the risk or the client have not taken any steps either to replenish the margin or reduce the Mark to Market loss.  
ASL have the sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (ie. short /long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs, in addition to this, the client will have to pay penalties and charges levied by the exchange in actual and losses. If any without prejudice to the foregoing, the client shall also be solely liable for all any penalties and charges levied by the exchange(s).  
Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins pay in obligations for the orders/trades/deals of the client within the prescribed time and form, the ASL shall have the right without any further notice or communication to the client to take any one or more of the following steps:  
  - i. To withhold any payout of funds .
  - ii. To withhold /disable the trading/dealing facility to the client.
  - iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which ASL may deem fit in its absolute discretion.
  - iv. To liquidate / square off partially or fully the position of sales & / or purchase in any one or more commodities contracts in such manner and at such rate which ASL may decide in its absolute discretion.
  - v. To take any other steps which in the given circumstances, ASL may deem fit.
5. **Shortages in obligations arising out of internal netting of trades.** ASL shall not be obliged to deliver any commodities or pay any money to the client unless and until the same has been received by it from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:  
The commodities delivered short are purchase from the market and the purchase consideration (including all statutory charges and levies) along with a penalty is debited to the short delivery seller client.  
ASL shall have the right to adopt a policy of its choice for internal auctions arising out of internal netting of trades and charge to default seller and compensate the impacted purchaser as per the policy. The current procedure for internal auction may be amended from time to time with prospective effect and will be published on the website.
6. **Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**  
The client is not entitled to trade without adequate margin / security and that it shall be his/her/its responsibility to ascertain before hand the margin / security requirements for his/her/its orders/trades/deals and to ensure that the required margin/ security is made available in such form and manner as may be required by ASL.  
If the client's order is executed despite a shortfall in the available margin, the client shall, whether or not ASL intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he/ she/it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss / damage arising out of the non-availability / shortage of margin / security required by the Commodity broker & / or exchange & /or quantum & or percentage of the margin & / or security required to be deposited / made available from time to time. The margin/security deposited by the client with ASL is not eligible for any interest.
- 7) **Temporarily suspending or closing a client's account at the client's request and:-** Closure request from the client is obtained in the prescribe format, specifying the reasons for closure. The form should be duly signed by the client. The same is forwarded to the Head Office where it is processed after the signatures are being verified. Any pending settlements in the existing code are also thoroughly cross verified. An exit interview over telephone may also be taken from the HO end. Then the exiting code is deactivated in BO software as well in the Exchange records. Closure intimation is sent to the client either through E-mail or through post.






Interdepartmental intimation is also sent in such cases if required. ASL is entitled to disable / deregister the trading facility/client , if in the opinion of ASL, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade/ violate any laws, rules regulations, directions of a lawful authority whether Indian or foreign or if the ASL so apprehends

**8) Deregistering a client.** Notwithstanding anything to the contrary stated in the agreement, ASL shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/improper or such as to manipulate the price of any commodities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed or allowed to be appointed of all or any part of the undertaking of the client;
- v. If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, if any steps have been taken by the Client and /or its partners for dissolution of the partnership;
- viii. If the Client has made any material misrepresentation of facts, including(without limitation)in relation to the Security;
- ix. If there is reasonable apprehension that the Client is unable to pay its debts or has admitted it inability to pay its debts, as they become payable. If the Client suffers any adverse material change in his /her/its financial position or defaults in any other agreement with the Commodity broker.
- x. If the Client is in breach of any term, conditions or covenant of this Agreement.

If any covenant or warranty of the client is incorrect or untrue in any material respect.

Client Signature (1st Holder)	Client Signature (2nd Holder)	Client Signature (3rd Holder)
		

I/We are dealing in securities with M/s Allwin Securities Limited (ASL) at NSE/BSE/ in Cash, Derivative & Currency Segment in order to facilitate ease of operations, I/We authorize ASL as under :

1. I/We authorize ASL to set off outstanding in any of our accounts against credits available or arising in any other accounts maintained with ASL irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to ASL by us.
2. I/We hereby authorize ASL not to provide me / us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by ASL. If it is required additionally, I/We confirm that levy of charges as per broker policy on the physical issuance of the contract note and other documents.
3. I/We hereby authorize ASL to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same of meeting margin/ pay - in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards our margin/future obligations at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize ASL to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf.
5. I/ We request ASL to retain Securities in your Demat account for my/ our margin/future obligations at all Exchanges, unless I/We instruct ASL to transfer the same to my/our account. I/We request ASL to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by ASL.
6. I/We shall not hold ASL or any of its employee/official/agent/affiliate responsible or liable for any information, recommendation or advice with respect to any investment/trading decision or transaction, and if so acted upon by me/us, the same shall be at my/our sole risk and cost.
7. ASL may restrict my/our trading as per their risk management and/or due diligence policies or any other reason inspite of my/our having paid full margin. I/We will comply to their requirements then which may include submission of updated documents, undertaking, financial etc.
8. ASL and its directors, officers, employees, and agents shall not be responsible or liable for any losses suffered or which may be suffered by me/ us, arising from any delay or failure in the transmission, receipt, execution or confirmation of orders due to any breakdown, interruption or failure of transmission of the Internet, computer network, software, hardware, other computer devices, Internet system and any problem arising from my/our side.
9. ASL and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond its control.
10. I/We do hereby confirm that I/we shall not deposit any third party cheque towards meeting my/our obligation for the trades executed by me/us and hence shall not hold ASL against any such credit.
11. It shall be my/our responsibility to check the data provided through SMS Alert Service or Email services with the actual Contract Notes/Financial Ledgers given by ASL. The messages flashed shall be merely reminders for my/our convenience that I/we shall take all my/our actions based on the normal confirmation received by me/us. I/we agree to inform ASL of any changes in the mobile number on which the updates are required.
12. I/We undertake that I/we shall not hold ASL, its Directors or Officers liable towards my/our acceptance of any lucrative offer of fixed return on investment without the knowledge of the Company and the onus to bring the same to the notice of the Company lies with me/us.
13. I/We undertake that if any claim or dispute arises between us in respect of any transactions, contracts, etc. entered into on my/our account, I/We shall be bound to refer it to Arbitration as per the Rules, Bye-Laws and Regulations and conventions of the SEBI and/or exchange(s) which are applicable to me/us.
14. I/We agree to abide by client level position limit and authorize ASL not to increase my/our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize ASL to debit my/our ledger for any penalty imposed on you for my/our violation towards position limit.

15. I / We will not plant any false or misleading news which may induce sale or purchase of Shares/Securities.
16. I / We will not sell, deal or pledge any of the stolen or counterfeit security whether in physical or dematerialized form. I/We will not act in such a manner amounting to manipulation of the price of a security.
17. I / We will not advance or agree to advance any money to any person thereby inducing any other person to offer to buy any security.
18. I / We will not introduce any kind of money acquired illegally in the financial system. I / We will submit the necessary documents / information required under the PMLA and/ or any other statute.
19. I / We will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading.
20. I/We request that ASL may send/dispatch me/us contract notes other documents through E-mail on my/our Designated e-mail address
- 
- I / We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.
21. I/We will inform ASL the change my/ our my e-mail, if any, in future either by regd. post or through a digitally Signed e-mail.
22. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I / We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/ We agree that I/ We shall be fully liable and responsible for any such problems / fault.
23. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
24. I/We agree for & authorize ASL to with hold funds pay-out towards all the applicable margins and debits.
25. I/We agree for & authorize ASL to with hold funds pay-out towards all the applicable margins and debits.
26. All fine / penalties and charges levied upon ASL due to my/our acts/deeds or transactions may be recovered by ASL from my account.
27. I/We have a Trading as well as depository relationship with \_\_\_\_\_ Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my / our trading account / pay adequate advance fee for the said reasons.
28. I / We can revoke the above mentioned authority at any time.

Yours faithfully,

Client Code: \_\_\_\_\_

Client Signature



\_\_\_\_\_

**IDENTIFYING YOUR INVESTMENT RISK (From Investment & Trading Perspective)****1. Familiarity with the Commodities / Stock Investment** (Tick the applicable)

☐ Not Familiar at all    ☐ Somewhat familiar    ☐ Fairly familiar    ☐ Very familiar

**2. Stock Investment Longevity** (Tick the applicable)

☐ Less than 1 year    ☐ Within 1-3 years    ☐ Within 3-5 years    ☐ More than 5 years

**3. Approximate percentage of your current Investment in Commodities / Stock** (Tick the applicable)

☐ Above 75%    ☐ Between 50% to 75%    ☐ Between 10% to 25%    ☐ Less than 10%

**4. Your experience in Commodities / Stock Market** (Tick the applicable)

☐ Highly Experienced    ☐ Very Experienced    ☐ No Experience

**5. Do you deal in** (Tick the applicable)

☐ Bullion    ☐ Energy    ☐ Metals    ☐ Agri    ☐ Other

**6. Are you** (Tick the applicable)

☐ Hedger    ☐ Speculator    ☐ Arbitrators    ☐ Agricultures

**7. Legal Actions** (Tick the applicable)

☐ Yes    ☐ No

**8. Quantum of bearable loss** (Tick the applicable)

☐ Minimum amount of Capital Loss    ☐ Moderate Capital Loss    ☐ High Capital Loss

**9. Source of deployment of funds, whether borrowed** (Tick the applicable)

☐ Yes Name of Lender \_\_\_\_\_ and amount borrowed Rs. \_\_\_\_\_ ☐ No

**ADDITIONAL INFORMATION****1. Details of the family member / group Companies being the promoter / Employee of the listed Company** (Tick the applicable)

☐ Yes Name of the listed Company \_\_\_\_\_ ☐ No

**2. Details of the family member / group Companies registered with SEBI** (Tick the applicable)

☐ Yes Mention details \_\_\_\_\_ ☐ No

**3. Details of the family members / relatives having trading account with ASL** (Tick the applicable)

☐ Yes Client Code \_\_\_\_\_ Name \_\_\_\_\_ ☐ No

**4. Additional Comments (to be filled by Client)**

(Please write down any additional comments you may have relevant to determining your Risk Profile)

\_\_\_\_\_  
\_\_\_\_\_

Signature

**Disclosure of proprietary trading by broker to client**

With reference to the SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated Nov. 19, 2003 intended to increase the transparency in the dealing between the trading member and their clients, all trading members are required to disclose to its/their clients whether they do client based business or proprietary trading as well.

Pursuant to the above, we wish to inform you that Allwin Securities Limited at present does trade on proprietary account in the cash, Derivatives, and Currency segment at NSE/BSE.

I/We

having client code \_\_\_\_\_ with M/s Allwin Securities Limited acknowledge receipt and Understanding of the above.

Signature



Name

Client Code

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date:

DP ID	12064400	Client ID	
Name of the Sole / First Holder			
Name Of the Second Joint Holder			
Name of the Third Joint Holder			

To,

Allwin Securities Ltd.

B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 400002.




Dear Sir / Madam

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

☐ **OPTION 1**

I / We require you to issue Delivery Instruction Slip (DIS) Booklet to me / us immediately on opening my / our CDSL account though I / We have issued a Power of Attorney (POA) in favour of Allwin Securities Ltd. for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member.

Yours faithfully

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




**OR**

☐ **OPTION 2**

I / We do not require the Delivery Instruction Slip (DIS) Booklet for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with Allwin Securities Ltd.

for executing delivery instruction 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			

## MANDATE TO ISSUE CONTRACT NOTES, DAILY MARGIN STATEMENT, QUARTERLY STATEMENT AND DEMAT HOLDING &amp; TRANSACTION STATEMENT, BILL Etc. IN ELECTRONIC FORMAT

Date: \_\_\_\_\_

To,  
Allwin Securities Ltd.  
B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 400002.

Dear Sir,

I / We request you to send me/us contract notes/ demat statement/transaction statement and other document through Email on my/our designated email address \_\_\_\_\_

I / We will completely rely on the log reports of your software as a conclusive proof and will inform you if any change in my/our email Id in future through written consent.

I / We hereby also accept the stated statement Non receipt of bounced mail shall amount to delivery of contract note at the email

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

(The above lines must be reproduced in own handwriting of the client.)

\_\_\_\_\_  
Thank you

Signature \_\_\_\_\_

Client Name: \_\_\_\_\_

Client Code: \_\_\_\_\_

BOID : \_\_\_\_\_

Mobile number: \_\_\_\_\_

Terms and conditions :

Terms and conditions for availing the facility of the electronic Contract Notes, Daily statement pertaining to settlement & Quarterly statement digitally signed and Demat holding and transaction statement are as follows.

1. The client will ensure availability of the above mentioned e-mail Id at all times.
2. Non-receipt of bounced e-mail notification by ASL can be safely taken of having been received.
3. The client shall update for any change in e-mail ID through a duly executed physical letter.
4. Electronic Contract Notes, Daily margining statement , Quarterly statement and Demat holding and transaction statements will al so be available on URL <http://backoffice.allwinsecuritieslimited.com/shrdbms/userlogin.ss>
5. Client can view the electronic contract Notes, Daily margining statement , Quarterly statement and Demat holding and transaction statements on URL by using the username & password.
6. Electronic Contract Notes will be archived at an interval of 15 days, if the client intends to view the electronic contract Notes for a period prior to 15 days, client may request for the same in writing.
7. In case of any failure in system or errors the same will be issued in physical form, which shall be binding on the client.
8. Mandate can be revoked at any time with the issuance of physical letter.

**STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)**

I / We request you to maintain my / our accounts for funds and securities Stock Exchange from time to time, & In case client is active only in on running accounts basis instead of 'bill to bill' settlement basis across all Commodity Segment such accounts with credit balances of Rs. 50000/- or segments and exchanges, unless I/we specifically request you for a payout lesser may be automatically retained and transfer of funds to the bank of available free funds or securities in the account. You may settle the account may not be made as per SEBI circular SEBI/MRD/SE/Cir-42/2003 . while settling my / our account. I / we understand and agree that accounts at ☐ Monthly ☐ Quarterly [Tick] on interest will not be payable on the amount of fund retained by you as above. I / We agree that Allwin Securities Limited shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities / funds. The standing instruction / authorization for maintaining my / our accounts at ☐ Monthly ☐ Quarterly [Tick] or at such other intervals as SEBI / Stock exchanges may specify from time to time. I / We futher authorize you to retain securities and / or fund as may be permitted by Stock Exchanges / SEBI from time to time or towards other unbilled services and / or charges applicable on my account, while setting the accounts. I / We futher authorize you to also retain fund / Securities for an amount of upto Rs. 10,000/- (ten Thousand Only) or

any other sum as may be permitted by SEBI /

Client Signature : \_\_\_\_\_

(Mandatory if E-mail ID or Mobile No. is already registered with us)

Date: \_\_\_\_\_

To,  
 Allwin Securities Ltd.  
 B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 40000.

Subject : Common Mobile number / Email ID for Trading account and Demat accounts.

Dear Sir,

I , Mr/Mrs/M/s \_\_\_\_\_ would like to confirm that the mobile number \_\_\_\_\_  
 and Email ID \_\_\_\_\_ is registered in my name.

I am your registered client having trading code as \_\_\_\_\_ and demat account number as \_\_\_\_\_

Upon understanding from you that my/our mobile number/email id is registered with some of the clients who have trading and / or demat accounts with you. I have to state that this in my full knowledge and I have consented to the below clients who are my relative/s to state my Mobile Number/Email ID is their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by us of all the SMS/Email belonging to them which are sent by you to us on our above mobile number/email id.

All these below clients also do not have any objection to the same, in consent they have also signed:

Sr. No.	Client Name	Trading Code	Demat A/c	Relation	Signature
1.					
2.					
3.					
4.					
5.					

However, in case of any further regulatory requirements, I/we undertake to abide upon hearing from you.

Thanking you.

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Note :** the close relatives ONLY to be included are – Spouse, Dependent Children and Dependent Parents.

Signature  \_\_\_\_\_

**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]**

<b>Allwin Securities Ltd.</b> B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 400002.				<b>FORM FOR NOMINATION</b> <i>(To be filled in by individual applying singly or jointly)</i>			
Date		UCC		DP ID	12064400	Client ID	
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]							
<b>NOMINATION DETAILS</b>							
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 [If not equally, please specify percentage]	%	%	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.							
3.	Relationship with the Applicant (if any)						
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 [Please tick any one of following and provide details of same]						
	<input type="checkbox"/> Photograph & Signature						
	<input type="checkbox"/> PAN						
	<input type="checkbox"/> Aadhaar						
	<input type="checkbox"/> Saving Bank A/c No.						
	<input type="checkbox"/> Proof of Identity						
	<input type="checkbox"/> Demat Account ID						
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 A/c 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.)			
	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	
Allwin Securities Ltd. B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 400002.		
UCC		DP ID    12064400
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.		
<b>Name and Signature of Holder(s)*</b>		
1. _____ 2. _____ 3. _____		
* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature		

**ACKNOWLEDGEMENT TO ALLWIN SECURITIES LIMITED**

To,  
**Allwin Securities Ltd.**  
B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 400002.

I / We hereby confirm that I / We have gone through all the relevant clauses at the time of execution of KYC and has sought the relevant clarification wherever required from the officials of ASL.

Moreover please arrange to provide the following documents in ☐ Electronic via E-mail ☐ Physical

Sl. No.	Brief Description of the Document	
1.	Right and Obligations of Stock & Commodity Brokers, Authorised Person and Clients	<b>Client Copy</b>
2.	Right and Obligations of Beneficiary Owner and Depository Participant as prescribed by SEBI & Depository.	
3.	Stock & Commodity Internet and Wireless technology based trading facility provided by Broker to Client.	
4.	Risk and Disclosure document for Security & Commodity Market.	
5.	Guidance note – Do's and Don't for trading on Exchange(s) for Investors.	
6.	Terms and Conditions for aviating Transaction Using Secured Texting (TRUST) Service offered by CDSL.	
7.	Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	
8.	Executed Copy of KYC	

For \_\_\_\_\_  
Client Code : \_\_\_\_\_

BO ID : \_\_\_\_\_

Signature  \_\_\_\_\_

**Note:** The standard documents (Client Copy) are also available in vernacular language on our Website: <http://www.allwinsecurities.com>  
and can be downloaded at any point of time for reference.

To,

Allwin Securities Ltd.

B - 205 / 206, RAMJI HOUSE CHS LTD, 30, JAMBULWADI, KALBADEVI ROAD, MUMBAI 400002.

Tel - 022 - 43446444

Fax - 91(022) 43446410

Dear Sir/ Madam,

I/We hereby authorize to Allwin Securities Ltd. For following Purpose.

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.	
2.	Pledging / re-pledging of securities in favor of trading member (TM) / clearing member(CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
4.	Tendering shares in open offers through Stock Exchange platforms	

\* the same may be esigned or signed physically

The Details of demat accounts of the broker for pay-in / pay-out and margin pledge / re-pledge are as follows wherein the said DDPI will be used.

Extract of the list of pool / principal / client margin / client beneficiary accounts of Allwin Securities Ltd. Updated list shall be displayed on the website, [www.allwinsecurities.com](http://www.allwinsecurities.com), from time to time.

List of Demat Accounts: IN0010191009639, IN00101910008149, 12064400 00000757, 12064400 00000742, 110000 1000017771, 12064400 00021792, 12064400 00022494, 12064400 00005244, 1100001100019036.

Bo SIGNATURE

DP SIGNATURE

Date:

5 .....

Designation: Partner/Promoter/Promoter Director/Whole-time Director .....

Resi. Add. & Tel. No. ....

.....

% Stake: .....

Pan No. .... DIN / UID .....

6 .....

Designation: Partner/Promoter/Promoter Director/Whole-time Director .....

Resi. Add. & Tel. No. ....

.....

Stake: .....

Pan No. .... DIN / UID .....

Signature with stamp		Please sign across the Photograph
Initial		

Authorised Signatory : Yes ☐

No ☐

Signature with stamp		Please sign across the Photograph
Initial		

Authorised Signatory : Yes ☐

No ☐

**Note: Partnership firms need to provide list of Authorised Signatories on letterhead as per Annexure - 6 and corporates need to provide board resolution as per Annexure - 7**

## ANNEXURE - 2 : AUTHORISED SIGNATORIES

(Other than those mentioned in Annexure - 1: Please add additional sheet, if required)

1. The following persons are authorised to trade and sign singly / jointly on any document regarding funds, securities transfer and miscellaneous matters for and on behalf of the client.

Name & Designation

1 .....

Designation: Partner/Promoter/Promoter Director/Whole-time Director .....

Resi. Add. & Tel. No. ....

.....

% Stake: .....

Pan No. .... DIN / UID .....

2 .....

Designation: Partner/Promoter/Promoter Director/Whole-time Director .....

Resi. Add. & Tel. No. ....

.....

% Stake: .....

Pan No. .... DIN / UID .....

3 .....

Designation: Partner/Promoter/Promoter Director/Whole-time Director .....

Resi. Add. & Tel. No. ....

.....

% Stake: .....

Pan No. .... DIN / UID .....

Specimen Signatures

Photographs

Signature with stamp		Please sign across the Photograph
Initial		

Authorised Signatory : Yes ☐

No ☐

Signature with stamp		Please sign across the Photograph
Initial		

Authorised Signatory : Yes ☐

No ☐

Signature with stamp		Please sign across the Photograph
Initial		

Authorised Signatory : Yes ☐

No ☐

### ANNEXURE - 3 : DECLARATION BY NRI CLIENTS

Date : \_\_\_\_\_

To,  
**Allwin Securities Limited**

B - 205 / 206, Ramji House CHS Ltd, 30, Jambulwadi, Kalbadevi Road, Mumbai - 400 002.

With reference to the opening of trading Account with you for availing facility for trading in securities on the stock exchanges pursuant to the Account Opening Documents, Depository Participant - Client Agreement and other non-mandatory documents executed by me with you, I, hereby unconditionally and unequivocally, state, declare, undertake, confirm to Allwin Securities Limited (hereinafter referred to as "Allwin Securities Limited") as under:

- I am non-resident Indian as defined under Foreign Exchange Management Act (FEMA).
- I understand that the trading account is opened on the basis of statement / declarations made by me, and that if any of the statement / declarations made herein is found to be incorrect in material particulars, Allwin Securities may discontinue my trading account.
- I confirm and agree that the trading account will be used for bona fide transactions not involving any violation of the provisions of any applicable Regulations.
- I under take to intimate to Allwin Securities Limited about my return to India for permanent residency immediately on arrival
- I confirm that all Investments and disinvestment in India are covered either by general or special permission of Reserve Bank of India.
- I agree and confirm that I shall abide by all the rules and regulations of the FEMA / Reserve Bank of India governing the trading in Indian secondary securities market.
- I shall keep margin deposit amount with Allwin Securities Limited as stipulated by Allwin Securities Limited from time to time.
- Any notice / correspondence / contract notes / statement of accounts / statement of securities sent to me at any of the address given in the
- Know Your Client (KYC) form in the ordinary course of post / courier / fax or on the email ID mentioned in the said KYC form or intimated separately, as the case may be, for the purpose of receiving electronic contract notes shall be deemed to have been received by me.
- I hereby confirm having understood that Allwin Securities may decline to comply with any instructions authorized by me if in Allwin Securities Limited opinion; compliance therewith would be illegal or result in a breach of any applicable laws or regulation.
- I confirm that the bank having my PIS account is given standing instruction to honor all the contract notes relating to purchase trades received from Allwin Securities Limited. Copy of the instruction so given to the bank shall be provided to Allwin Securities Limited for their record.
- I agree and confirm that in the event I desire to withdraw the standing instruction given as aforesaid, I shall serve at least 15 (Fifteen) working days advance written notice on Allwin Securities Limited. Such revocation shall be effective only on and from the date of expiry of 15 (Fifteen) working days from the date of service of such notice on Allwin Securities Limited provided that such revocation shall not have any effect on the transactions in securities executed by me before the effective date of such notice of revocation and I agree and undertake that I shall continue to be liable and bound by the transactions and obligations undertaken by me with Allwin Securities Limited prior to effective date of such revocation and shall ensure that bank honours all such instructions received from Allwin Securities Limited on or before the effective date of revocation.
- I shall carry out all our secondary market transactions only through Allwin Securities Limited. In case if I register myself as clients with any other Member Broker, I shall keep Allwin Securities Limited informed about the same.
- I hereby authorize Allwin Securities Limited to ask my bankers the amount lying as balance in my PIS bank account on daily basis for the purpose of their risk management and I confirm having instructed the bank to extend co-operation in this regard and to disclose balance in the PIS bank account to Allwin Securities Limited whenever required by Allwin Securities Limited.
- I hereby agree and confirm to indemnify and save, defend and keep Allwin Securities Limited harmless and indemnified, at all times from and against all actions, causes, suits, proceedings, claims and demands whatsoever made on Allwin Securities Limited by any person and against all costs charges, expenses, damages and sums of money (including legal expenses) incurred, suffered or sustained by Allwin Securities Limited for any non compliance of applicable act, rules or regulations by me or due to breach of the terms and conditions of my obligations under rights and obligations document or any other agreement/document executed by me for availing such services from Allwin Securities Limited.
- I agree not to close the bank account without first obtaining a No Objection Certificate from Allwin Securities Limited if I am availing the online trading facility for trading in securities. We confirmed having authorised the Bank to reject any such closure request made by me if not accompanied by No Objection Certificate issued by Allwin Securities Limited. I confirm having authorised the Bank to debit/block my bank account on the instructions issued by Allwin Securities Limited for any dues that may be outstanding and payable by me to Allwin Securities Limited for the transactions carried out by me prior to issuance of No Objection.

I confirm that the information set out herein above is true, complete and accurate and that Allwin Securities Limited shall be informed from time to time of any changes.

⑭

Client Signature

# ANNEXURE - 4 : DECLARATION BY GUARDIAN

To,  
Allwin Securities Limited

(In case of account opening for minor)

Dated : \_\_\_\_\_

B - 205 / 206, Ramji House CHS Ltd, 30, Jambulwadi, Kalbadevi Road, Mumbai - 400 002.

Ref.: Trading Account No. ....

Dear Sir,

This is with reference to the account opened in the name of Minor ..... U/G of Mr./ Ms. .... with ALLWIN SECURITIES LIMITED for the purposes of dealing in securities on the stock exchange(s).

With reference to the aforementioned trading account, you are requested to kindly accept transfer of funds/transfer of securities to/from the account of the minor as per the bank and DP details given below for all future dealings in the trading account:

## BANK DETAILS

Bank Name	
Branch	
Bank Account No.	

## DP DETAILS

DP Name	
DP ID No.	
Beneficiary ID No.	

I shall be held personally responsible for all the debit and credit transactions dealt in the above account. Kindly do the needful.

## GUARDIAN'S DETAILS

Guardian's Name	<div> <div>F</div> <div>I</div> <div>R</div> <div>S</div> <div>T</div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div>M</div> <div>I</div> <div>D</div> <div>D</div> <div>L</div> <div>E</div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div>L</div> <div>A</div> <div>S</div> <div>T</div> <div></div> <div></div> <div></div> <div></div> </div>																										
Relationship with Account Holder (Minor)																											
Guardia 's Address																											
City														State													
Country														Pin													
PAN No.														Gender	<div> <div></div> <div>Male</div> <div></div> <div>Female</div> </div>												
Nationality	<div> <div></div> <div>Indian</div> <div></div> <div>Other (Specify)</div> </div>																										
Tel	<div> <div>S</div> <div>T</div> <div>D</div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div>													Fax	<div> <div>S</div> <div>T</div> <div>D</div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> </div>												
Email ID																											

Thank you.

Yours Truly,

Signature <sup>15</sup> .....

Name : .....

Relationship with minor : .....

**ANNEXURE - 5: DECLARATION BY KARTA & ALL CO-PARCENERS IN CASE OF HUF ACCOUNT**

Dated : \_\_\_\_\_

To,  
**Allwin Securities Limited**  
 B - 205 / 206, Ramji House CHS Ltd,  
 30, Jambulwadi, Kalbadevi Road,  
 Mumbai - 400 002.

WHEREAS the Hindu Undivided Family of Mr. \_\_\_\_\_ is carrying on business in the firm name and style of \_\_\_\_\_ at \_\_\_\_\_ and we intend to deal, have or desire to have a Trading Account with Allwin Securities Limited (hereinafter collectively referred to as 'Member') as well as have a Beneficiary Owner's Account (Demat) with Allwin Securities Limited; Depository Participant (DP) of CDSL. We, undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr. \_\_\_\_\_ is the present Karta of the said joint family.

We confirm that affairs of the HUF firm are carried on mainly by the Karta Mr. \_\_\_\_\_ on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorise the Karta Mr. \_\_\_\_\_ on behalf of the HUF to deal on Capital Market Segment (CM), Future & Options Segment (F&O), or any others Segment that may be introduced by BSE/NSE/NCDEX/MCX/MCX-SX/NMCE/NSEL as well as operate the Beneficial Owner's Account in future and the said Member and DP are hereby authorised to honor ail instruction oral or written, given by him on behalf of the HUF.

Mr. \_\_\_\_\_ is authorised to sell, purchase, transfer, endorse, issue instructions, negotiate documents and / or otherwise deal through Allwin Securities Limited on behalf of the HUF. He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary / expedient to open account and give effect to this purpose. We are however, jointly and severally responsible for all liabilities of the said HUF firm to the Member / DP and agree and confirm that any claim due to the Member / DP from the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family including the share of the minor co-parceners, if any.

We undertake to advise the Member / DP in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said HUF firm and until receipt of such notice by the Member / DP shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member / DP for all dues obligations of the said HUF firm in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.

The names and dates of birth of the present co-parceners including minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the minor members attains the age of majority and is authorised to act on behalf of, and bind the said HUF Firm.

Name of Member of HUF (Including minor)	Father's Name	Relationship with Karta	Gender	Date of Birth
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

We have received and read a copy of the Member's rules and regulation for the conduct of Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Thank you,  
 Yours Truly,

(16)

\_\_\_\_\_  
 Signature of KARTA  
 (Along with rubber stamp of HUF)

\_\_\_\_\_  
 Signature of  
 Adult Co-parcener

\_\_\_\_\_  
 Signature of  
 Adult Co-parcener

\_\_\_\_\_  
 Signature of  
 Adult Co-parcener



**ANNEXURE - 6 : AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER(S)**

(To be obtained on Pre-Printed Letter Head of the Firm)

**Allwin Securities Limited**

B - 205 / 206, Ramji House CHS Ltd,  
30, Jambulwadi, Kalbadevi Road,  
Mumbai - 400 002.

Dated : \_\_\_\_\_

Dear Sir

We the partners of M/s ..... a partnership firm, having its office at ..... hereby authorize Mr./Ms. .... and Mr./Ms. ...., singly, to open a securities trading account on behalf of the firm with the Trading Member Allwin Securities Limited (Member: BSE, NSE, MCX-SX) for sale and purchase of shares / derivative instruments including currency Derivatives Segment in Capital Market Segment (CM), Futures and Options segment, (F&O), Retail Debt Market Segments (RDM), Currency Derivatives Segment or any other segment that may be presently available or may be introduced by NSE/BSE/MCX-SX in future. He/She/They is/are authorized on behalf of the firm to deal in equities, derivatives, debentures, debt products IPOS, Mutual Funds, and is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through Allwin Securities Limited on behalf of the firm. He/She/They is/are also authorized to sign, execute and submit such applications, undertakings, agreements, Power of attorney and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatory (ies) can issue cheques from bank account in favour of ALLWIN SECURITIES LIMITED for credit to Share Trading account of the firm with Allwin Securities Limited even though his/their signatures may not be available on the records of ALLWIN SECURITIES LIMITED These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely / exclusively for the account of the firm maintained with ALLWIN SECURITIES LIMITED

We also recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per Depository regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. .... opened singly / jointly in the name of Managing partner/partners of the firm. We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as completed discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Thank you,

Yours Truly,

Signature of Partner <sup>16</sup> .....

Name :

Signature of Partner .....

Name :

Signature of Partner .....

Name :

Signature of Partner .....

Name :

(Signatures of all the partners with the rubber stamp)

**ANNEXURE - 7 : FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE**

(To be obtained on pre-printed letterhead of the company)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ LTD. AND HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_ HELD ON \_\_\_\_\_ DAY OF \_\_\_\_\_ 20 \_\_\_\_ AT \_\_\_\_\_ A.M. / P.M.

RESOLVED THAT the Company is empowered to deal on Capital Market segment, Futures and Options including currency Derivatives Segment, Debt Market segment, Mutual Fund Segment or any other segment that may be presently available or may be introduced in future by NSE, BSE, MCX-SX, and in pursuance of the same do enter into agreement with ALLWIN SECURITIES LIMITED, Members of The National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE), MCX-Stock Exchange Ltd. (MCX-SX) and the said Trading Member be and is hereby authorised to honour all instructions, oral or written, given on behalf of the Company by any of the undernoted authorised signatories:

Further Resolved that a Beneficiary Account for the company be opened with CDSL Depository Participant, ALLWIN SECURITIES LIMITED, 1B - 205 / 206, Ramji House CHS Ltd, 30, Jambulwadi, Kalbadevi Road, Mumbai - 400 002 and the said Depository Participant be and is hereby authorized to honor receipt instructions, execute delivery, pledge Hypothecate shares, on behalf of the company by any of the undernoted authorised signatories:

Sr.No.	Name of Authorised Person	Designation
1.	_____	_____
2.	_____	_____

The above person(s), jointly or severally, is/are authorised to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through ALLWIN SECURITIES LIMITED on behalf of the Company. The above persons are further authorised to give a power of attorney (POA) as deemed appropriate, (In favor of ALLWIN SECURITIES LIMITED) for the operation of the demat account so opened, as well as to make applications in IPOS and Mutual Fund Schemes.

RESOLVED FURTHER THAT the above mentioned persons are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary to give effect to this resolution.  
For \_\_\_\_\_ LTD.

Chairman/Company Secretary (Signature to be verified by the Banker)

**Specimen Signature**

Sr.No.	Name of Authorised Person	Designation	Specimen Signature
1.	_____	_____	<sup>16</sup> _____
2.	_____	_____	_____

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

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

### CLIENT INFORMATION

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

### MARGINS

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

### TRANSACTIONS AND SETTLEMENTS

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



Please fill in ENGLISH and in BLOCK LETTERS

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

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

[illegible]

2. Date of Incorporation | d | d | / | m | m | / | y | y | y | y |

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

Place of Incorporation

3. Registration No. (e.g. CIN)

Response	Percentage
Yes	85%
No	15%

Date of commencement of business

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

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

5. Permanent Account Number (PAN) (MANDATORY)

Please enclose a duly attested copy of your PAN Card

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

### 1. Address for Correspondence

[illegible]

## 2. Contact Details

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

Tel. (Res.)	(ISD)	(STD)
Fax	(ISD)	(STD)

Fax	(ISD)	(STD)
-----	-------	-------

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

☐ \*Latest Telephone Bill (only Land Line)    ☐ \*Latest Electricity Bill    ☐ \*Latest Bank Account Statement    ☐ Registered Lease / Sale Agreement of Office Premises

☐ Any other proof of address document (as listed overleaf) (Please specify)

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

4. Registered Address (If different from above)

[illegible]

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

☐ \*Latest Telephone Bill (only Land Line)    ☐ \*Latest Electricity Bill    ☐ \*Latest Bank Account Statement    ☐ Registered Lease / Sale Agreement of Office Premises

☐ Any other proof of address document (as listed overleaf). (Please specify)

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

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

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

2. Any other information:

## DECLARATION

I/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.

Place: \_\_\_\_\_

Date: |

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



## FOR OFFICE USE ONLY

**ALLWIN SECURITIES LIMITED**☐ (Originals Verified) Self-Certified Document copies received☐ (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain

Staff Name
Designation
Name of the Organization
Signature
Date



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/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 or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

Please Submit the KYC Documents on A4 Size Paper Only.

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

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

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



Name & Signature of the Authorised Signatory(ies)

Date: | d | d | / | m | m | / | y | y | y | y |



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

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

### CLIENT INFORMATION

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

### MARGINS

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

### TRANSACTIONS AND SETTLEMENTS

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



brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

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

#### **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-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 stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

#### **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one

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

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

#### **ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-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 extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of

bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges,

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

#### **LAW AND JURISDICTION**

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



## **INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT**

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/ system failure at the Client/Stock brokers/ Exchange end for any reason beyond the control of the stock broker/ Exchanges.

### **OWN / PROPRIETARY TRADE:**

In pursuance of SEBI Circular No. SEBI/MRD/SE/ Cir-42/ 2003 dated November 19, 2003, with a view to increase the transparency in the dealings between the trading member and their Clients, all trading members are required to disclose to his clients whether they do client based business or proprietary trading as well. In this connection, the Stock Broker wishes to inform that besides transacting on behalf of Clients, they also transact on their own/ proprietary account.

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 Stockexchanges.

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

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

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

## **1. BASIC RISKS:**

### **1.1 Risk of Higher Volatility:**

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

### **1.2 Risk of Lower Liquidity:**

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

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

### **1.3 Risk of Wider Spreads:**

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

### **1.4 Risk-reducing orders:**

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

**1.4.1** A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to

price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

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

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

## **1.5 Risk of News Announcements:**

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

## **1.6 Risk of Rumors:**

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

## **1.7 System Risk:**

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

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

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

## **1.8 System / Network Congestion:**

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

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

### **2.1 Effect of "Leverage" or "Gearing":**

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These

new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

## 2.2 Currency specific risks:

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

## 2.3 Risk of Option holders:

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

## 2.4 Risks of Option Writers:

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

## 3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMARTORDER ROUTING OR ANY OTHER TECHNOLOGY:

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

## 4. GENERAL

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



### **BEFORE YOU BEGIN TO TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.bseindia.com](http://www.bseindia.com) (BSE), [www.nseindia.com](http://www.nseindia.com) (NSE), [www.mcx-sx.com](http://www.mcx-sx.com) (MCX-SX) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blankfields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (PDA) 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