



**AMFI Registration No.: 49632**

# Client Registration Application Form

## Client Code

BO ID

12038600 000

### Name & Address of the Applicant

---

---

---



### Registered & Correspondence Office :

303/306, 3rd Floor, Raheja Chambers, F.P.J. Marg, Nariman Point, Mumbai - 400 021

Tel. No.: 022 - 6624 0800 • Fax : 022 - 6624 0849

Email ID : admin@samuraisec.co.in • Website : www.samuraisec.com

### Registration Details:

Exchange / Depository	Segment	Registration no.	Registration Date
BSE	Cash & Derivatives	SEBI: INZ000187234	July 30, 2018
NSE	Cash, Derivatives & Currency Derivatives		
CDSL	DP	SEBI: IN-DP-509-2020	Nov. 09, 2020
Mutual Funds		AMFI: 49632	

### Clearing Member :

M/s. Globe Capital Market Ltd., 609, Ansal Bhawan, 16 K.G.Marg, New Delhi-110 001

Tel No. 91-11-30412345

SEBI Registration No. INZ0000177137

### Our Contact Details:

Designation	Name	Ph. No.	Email ID
Chief Executive Officer	Mr. Kavinder Jain	022-66240803	kavinder@samuraisec.co.in
Director	Mr. Jugal Kishore Maheshwari	022-66240801	jkm@samuraisec.co.in
Compliance Officer	Mr. Ghanshyam Thanvi	022-66240853	gthanvi@samuraisec.co.in

For any grievance/dispute please contact Samurai Securities Pvt. Ltd. at the above address or

Email ID : investor\_samurai@yahoo.com and Phone no. 91-2266240853

In case not satisfied with response, please contact the concerned exchange(s) / depository at :

**CDSL** : Toll Free 1800225533, Email ID : complaints@cdslindia.com

**BSE** : Tel No. 022- 2272 8517, Email ID : ISC.Mumbai@bseindia.com

**NSE** : Tel No.022-25045258-60/125, Email ID : nseiscmum@nse.co.in

You can file your complaints online at <https://scores.sebi.gov.in> or alternately send your complaints to Office of Investor Assistance and Education of SEBI at Mumbai or Regional Offices:

For more information visit our website - <https://scores.sebi.gov.in>

Filing of complaints on SCORES – Easy & quick

a. Register on SCORES portal

b. Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, Email ID

c. Benefits: 1.Effective communication 2.Speedy redressal of the grievances SCORES website:

<https://scores.sebi.gov.in>

## INDEX OF DOCUMENTS

Sr. No	Name of the Document	Brief Significance of the Document	Page No
<b>Mandatory Documents as prescribed by SEBI &amp; Exchanges</b>			
1	Know Your Client (KYC) Application Form	Document captures the basic information about the Individual and Non Individual constituent and an instruction/ checklist.	1-8
2	Additional KYC form for opening trading account	Document captures the additional information about the Individual and Non Individual constituent relevant to trading account and instruction/ checklist.	9-12
3	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading member, authorised person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	13-17
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	18-21

Sr. No	Name of the Document	Brief Significance of the Document	Page No
5	Guidance Note	Document detailing dos and don'ts for trading on exchange, for the education of the investors.	22-23
6	Most Important Terms and Conditions	Document detailing standard Most Important Terms and Conditions (MITC) focusing on critical aspects of the broker-client relationship	23-24
7	Policies and Procedures	This document provides an idea about Risk management system (RMS) policy, Exposure, Exposure limit, Brokerage and other policies, restrictions of Samurai Securities Pvt. Ltd.	25-28
8	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange (s)	29
<b>Voluntary Documents provided by Samurai Securities Private Limited</b>			
9	Running Account Authorization	This ensures authorization from client on various points related to the execution / settlement of trades / transactions on their behalf, maintaining a running account & Settlement of funds.	30
10	Declaration/ Authorization	This ensures authorization/declaration from client on various points like to accept verbal instructions, tape recording of conversations, to issue consolidate contract notes, depository charges, responsibility for investment etc.	31-33
11	SMS & Email based Trade Alerts facility by stock Exchanges	Through this facility exchanges will send at the end of day SMS and Email Alerts for transaction done by investor through their trading code.	34
12	Issue of Letters/information/ other documents in electronic form only	This document provides an authority to issue Digital Contract Notes/ Bills/Ledger/Transaction statement, Reports, Letters, Circulars and Notices etc.	35
<b>Documents for Demat Account</b>			
13	Additional KYC form for opening demat account	Document captures additional information like second holders, third holders details etc.	36-42
14	Rights and Obligations	Document Stating the Rights and Obligations of Beneficial owner and Depository Participant as prescribed by SEBI and Depository.	43-44
15	Demat Debit and Pledge Instruction (DDPI)	This document gives authority to SSPL to debit securities towards market pay in, margin obligation, application for open offer and mutual funds transaction	45
16	Tariff sheet (Demat)	Document detailing the charges levied on the client for availing Depository Services	46
17	SMS and Email Alerts from CDSL for Demat Account	Terms & Conditions for receiving alerts on the Debits and or Credits in the Demat Account of the BO through Short Message Services (SMS) from Depository	47-49
<b>Declaration / Formats</b>			
18	FATCA/ CRS declaration - Individual	FATCA /CRS Declaration by Individual applicant	50
19	FATCA/ CRS declaration- Non individual	FATCA /CRS Declaration by Non individual applicant	51-52
20	RGESS Scheme	This declaration to be given by investor for availing the benefit under the Rajiv Gandhi Equity Saving Scheme	53
21	Declaration by Family member	Declaration to be given by family member of applicant to receive SMS and EMAIL Alerts on his / her mobile no and Email Id	54
22	Declaration by HUF members	This is a declaration given by Karta of HUF family about the list of family Members	54
23	TRUST Service	Terms and Conditions for availing Transactions Using Secured Texting (Trust) service offered by CDSL	55-56
24	Board Resolution format	This document ensure an undertaking from board of directors authorizing few authorized person for dealing on behalf of the company	57
25	Acknowledge from Client	Confirmation and Acknowledgment from Client for receipt all Mandatory and Voluntary Client Registration Document along with all supportive document	

*This page has been left intentionally blank*

# 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\*

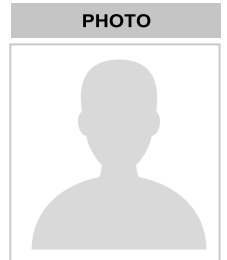
☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
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="text"/> )			
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			
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"/> X- Not Categorised			

(1/22) ☒

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

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

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

(Certified copy of any one 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="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

### Address

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

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

[illegible]

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

[illegible]

Tel. (Off) [ ] [ ] [ ] — [ ] [ ] [ ] [ ] Tel. (Res) [ ] [ ] [ ] [ ] — [ ] [ ] [ ] [ ] [ ] [ ] Mobile [ ] [ ] — [ ] [ ] [ ] [ ]  
FAX [ ] [ ] [ ] — [ ] [ ] [ ] [ ] Email ID [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

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

Related Person Type*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative
Name*	<div style="display: flex; justify-content: space-between;"> <div>Prefix <div style="border: 1px solid black; width: 20px; height: 20px;"></div></div> <div>First Name <div style="display: flex; gap: 2px;"><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div></div> </div> </div>	<div style="display: flex; justify-content: space-between;"> <div>Middle Name <div style="display: flex; gap: 2px;"><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div></div> </div> </div>	<div style="display: flex; justify-content: space-between;"> <div>Last Name <div style="display: flex; gap: 2px;"><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div><div style="border: 1px solid black; width: 20px; height: 20px;"></div></div> </div> </div>

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

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

• 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 :   -   -

[illegible]

(2/22) **(X)**

Signature / Thumb Impression of Applicant

**Documents Received** ☐ **Certified Copies**

KYC VERIFICATION CARRIED OUT BY

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date



INPERSON VERIFICATION DONE BY

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

## INSTITUTION DETAILS

Name **S A M U R A I   S E C U R I T I E S   P V T   L T D**  
Code **I N 0 0 5 3**



Account Type\* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

Last Name

☐ S-Service ( ☐ Private Sector ☐ Public Sector ☐ Government Sector )  
☐ O-Others ( ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)  
☐ B-Business  
☐ X- Not Categorized

(1/22)



Place / City of Birth\*

[illegible]☐ Unspecified[illegible]

☐ Simplified Measures Account - Document Type code

District\*         Pin / Post Code\*        State / U.T Code\*     ISO 3166 Country Code\*

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

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

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

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

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

☐ 7. REMARKS (If any)

• 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 :  -  -

[illegible]

(2/22) **ⓧ**

Signature / Thumb Impression of Applicant

**Documents Received**      ☐ **Certified Copies**

KYC VERIFICATION CARRIED OUT BYINPERSON VERIFICATION DONE BY

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date



Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

## INSTITUTION DETAILS

Name **S A M U R A I   S E C U R I T I E S   P V T   L T D**

Code **I N 0 0 5 3**





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

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

1. 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 FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

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

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

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

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

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

Types of entity	Documentary requirements
<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>

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.)	Photograph

*This page has been left intentionally blank*

## ADDITIONAL KYC FORM FOR OPENING TRADING ACCOUNT

## For Individuals & Non-individuals

## A. BANK ACCOUNT DETAILS

(through which transaction will generally be routed & for receiving Dividend)

Type of Account	<input type="checkbox"/> Saving	<input type="checkbox"/> Current	<input type="checkbox"/> NRE/NRO	A/c No.	
-----------------	---------------------------------	----------------------------------	----------------------------------	---------	--

[illegible]

## Branch Address

[illegible]

Pin Code					
----------	--	--	--	--	--

RTGS / NEFT / IFSC.         MICR No.

- 1) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, ( or )
- 2) Photocopy of the bank Statement having name and address of the BO and not more than 2 months old, ( or )
- 3) Photocopy of the passbook having name and address of the BO, ( or )
- 4) Letter from the Bank.

In case of Options 2), 3) and 4) above, MICR code of the branch should be present / mentioned on the document and it should be self - certified by the BO.

## B. DEPOSITORY ACCOUNT DETAILS

(through which transaction will generally be routed)

Depository ☐ NSDL ☐ CDSL[illegible]

DP Name |

[illegible]

## C. TRADING PREFERENCE

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

Exchanges	BSE and NSE		BSE
All Segments	Cash	F&O	Mutual Fund
3/22 (X)	3/22 (X)	3/22 (X)	3/22 (X)

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

# If, in future, the client wants to trade on any new segment, separate authorization/letter should be submitted by the client to us.

## 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:

## E. DEALINGS THROUGH OTHER STOCK BROKERS AND AUTHORISED PERSON

- If client is dealing through the other stock broker and authorised person provide the following details:

Stock Broker and  
Authorised Person Name:

SEBI Registration No.:

Client Code:  Exchange:

Registered Office Address

City  State  Pin Code

Website

Telephone No.  Fax No.

Details of disputes/dues pending from/to such stock broker/authorised person:

## F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note ☐ or Electronic Contract Note (ECN) ☐ (please tick):  
Specify your Email id, if applicable:
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) Yes ☐ No ☐
- Number of years of Investment/Trading Experience:  Years
- Any other information:

## G. OTHER DETAILS

<b>Gross Annual Income Details</b>	<b>Income Range per annum</b>
	<input type="checkbox"/> Upto Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000 Net-worth as on (date) ..... (dd/mm/yyyy): Rs. _____ (Net-worth should not be older than 1Year)
<b>Occupation</b> (Please tick(✓)any one)	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (Please Specify) _____
<b>Education</b> (Please tick(✓)any one)	<input type="checkbox"/> Under High school <input type="checkbox"/> High school <input type="checkbox"/> Graduate <input type="checkbox"/> Post graduate <input type="checkbox"/> Profession <input type="checkbox"/> Illiterate <input type="checkbox"/> Not Applicable
<b>Any Other Information</b>	<input type="text"/>

Whether you are/ any of the Authorised Signatories/ Promoters/ Whole time directors /Partners/ Trustees/ Karta are Politically Exposed Person(PEP) or Related to Politically Exposed ? [ ] Yes [ ] No  
If yes, fill up the details:

Sr. No.	Name	Designation (authorised signatory/ Promoter/ whole time director/ Partner/ Trustee/ Karta)	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

#### H. INTRODUCER (Optional)

(Introducing Existing Client/Director/Employee/Authorised Person/Other Please Specify -----) :-

Name of the Introducer

Address of the Introducer

Telephone No.

Introducer's Code

Introducer's Signature

Details of the Introducer's Identity Proof and Address Proof.

	No.	Place of Issue	Date of Issue	Date of Expiry
Identity Proof _____				
Address Proof _____				

#### DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on [www.samuraisec.com](http://www.samuraisec.com).

( 4/22 ⊗ )

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

Date \_\_\_\_\_

Place \_\_\_\_\_

**FOR OFFICE USE ONLY**

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

		Documents verified with Originals, Client Interviewed & IPV done By	
Name of the Employee			
Employee Code			
Designation			
Date		Signature	

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

**For Samurai Securities Pvt. Ltd.**

Signature of the Authorised Signatory

Date .....

**INSTRUCTIONS /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/authorised person'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 non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company /firm/others and their specimen signatures.



## **RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSONS 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, authorised person 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 authorised person shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).
- 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 authorised person 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.

### **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

### **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.

## **BROKERAGE**

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

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

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

## **DISPUTE RESOLUTION**

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

## **TERMINATION OF RELATIONSHIP**

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

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
37. The stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI

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

38. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
39. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
40. 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.
41. 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.
42. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
43. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the

clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

## **LAW AND JURISDICTION**

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



## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

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

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

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the

Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

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

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

### 1. BASIC RISKS:

#### 1.1 Risk of Higher Volatility:

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

#### 1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater are the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly

and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

### 1.3 Risk of Wider Spreads:

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

### 1.4 Risk-reducing orders:

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

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

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better

price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

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

### 1.5 Risk of News Announcements:

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

### 1.6 Risk of Rumors:

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

### 1.7 System Risk:

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

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

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

## 1.8 System/Network Congestion:

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

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

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

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

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

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

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

### 2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.



3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.
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.

### 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.
3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:  
  
Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. GENERAL
- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

### 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.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

## **GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS BEFORE YOU BEGIN TO TRADE**

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

## **TRANSACTIONS AND SETTLEMENTS**

- 8) The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
- 9) Don't share your internet trading account's password with anyone.
- 10) Don't make any payment in cash to the stock broker.
- 11) Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of authorised person. 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/authorised person 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/authorised persons 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.

5/22 (X)

**Client Signature**

**Annexure A**  
**Most Important Terms and Conditions (MITC)**  
(For non-custodial settled trading accounts)

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

6/22 (X)

**Client Signature**

## POLICIES AND PROCEDURES

**Mandatory Document :** This is a mandatory / compulsory document from stock broker and requires your utmost care, attention and understanding. This is disclosure of an additional requirements from stock broker which if contravenes any rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Stock Exchanges, shall be null and void. [Refer SEBI Circular No. MIRSD/ SE /Cir-19/2209 dated 03.12.2009]

### a) Policy for Penny Stock:

Penny stock is a stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited disclosure. Generally, the stock broker refuses to enter any order of clients for penny stocks.

The client is required to adhere to exchange /members' guidelines and due diligence while trading in such penny stocks. Even trading in such stock is very risky. As such, we the stock broker, do hereby warn the client not to deal in any penny stocks. However, Broker at its sole discretion, may allow or disallow the clients (on case to case basis) to deal in penny stocks, subject to rules, regulations, articles, byelaws, circulars, directives and guidelines of SEBI and Stock Exchanges as well as considering the prevalent market and other circumstances, at related point of time. The exposure limit in such scrips shall vary from client to client subject to Risk Management System (RMS) Policy of stock broker and prevalent market condition.

### b) 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 any 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 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. 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 client risk perception.

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.

### c) Applicable brokerage rate :

The stock broker discloses that it shall charge a brokerage at the rate being agreed by the client with Broker (including its branches or authorised persons or any other registered authorised intermediaries) depending upon market circumstances or as may be prescribed in KYC document and Back Office Software. However, the stock broker shall adhere to the maximum permissible limit (presently not to exceed 2.5 % ) as may be prescribed by SEBI / stock Exchanges from time to time. In option segment of Exchange, it is hereby disclosed that brokerage shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

### d) Imposition of penalty / delayed payment charges :

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate of 12% per annum. However, the client discloses that he/she/it is aware and specifically agree that this is just an additional / ad-hoc facility and shall not be construed / resulted into permanent practice leading to funding by broker in contravention of applicable laws.

Similarly the stock broker will also be liable to pay delayed payment charges to the client for not



making payment of their obligation on time, as per the exchange requirement/schedule at the rate of 12% per annum, except in the cases covered by the "Running Account Authorisation" given by the client to the stock broker.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this the Mandatory & Voluntary Client Registration Document / rules / regulations / 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 stock 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 orders / trades / deals / actions of the client, the same shall be borne by the client.

**e) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues limited to the extent of settlement /margin obligation:**

The Client also agree and confirm that in case of any delay (beyond permissible time limit as per SEBI's or Exchange's rules, regulations, byelaws, circulars and other applicable laws/ provisions) or in-ordinate delay in making the payment or clearance of or meeting up of any obligations, dues, debit balances, margin, M to M debit balance etc. by client, then client's open positions might be squared-off, credit balances of securities or securities lying with Broker might be sold off, credit balance of funds might be adjusted against client's obligation, debit balances or lawful liabilities WITHOUT ANY NOTICE from Broker as per prevalent RMS policy from time to time. This right of stock broker is without prejudice of other rights of stock brokers (Including the right to refer the matter to arbitration).

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 unpaid securities pledge 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 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 realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities, 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 as prescribed by exchange or by valuing it by marking it to market or by any other approved method as the stock broker may deem fit in its absolute discretion.

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).

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

Stock broker shall not be obliged to deliver any securities 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 shortages in obligations arising out of internal netting of trades is as under:

- i) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Payin /Payout Day. The securities delivered short are purchased from market on T+1 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.
- ii) 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+1 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.
- iii) 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.

- iv) In the case of funds default by the client, the member shall be liquidating the stocks to recover the money. Any shortfall arising out of liquidating securities by the members shall also be recovered from the defaulting client along with interest @12% p.a.

**g) Restrictions/Prohibition to take further position or closing existing position:**

Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, lawful obligation and lawful outstanding etc. Even, broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further / fresh position.

Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any lawful obligation, margin requirements from client side, broker might close the existing position or open position WITHOUT ANY FURTHER PRIOR INTIMATION to the client as per RMS policy. Such Circumstances may include (but not limited to):

- (i) failure to meet pay-in obligation on T+1 day in F&O Segment & cash segment.
- (ii) delay in meeting the pay-in or margin requirement,
- (iii) delay or failure in clearance of outstanding or dues to the broker,
- (iv) returning or frequent bouncing of cheques of the client,
- (v) Unnecessary / Unwarranted dispute from client without any substantial cause / reason,
- (vi) Client's attitude of not coming to the amicable settlement for any dispute that can be settled without involvement of Exchange and /or SEBI,
- (vii) As per prevalent RMS policy of the Broker,

- (viii) Any direction from SEBI/Exchange or such other authorities.

**h) Suspension / Deregistering of Client Account:**

The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in following circumstances:

- (a) as per Client's prior written request of atleast 3 working days submitted to stock broker at its H.O./ regional office/ Branch office duly acknowledged by Broker (subject to clearance of entire outstanding/ obligations),
- (b) Dormant or in-active status of client account beyond specified time limit as may be prescribed by Broker.
- (c) Under any circumstances mentioned in previous points.

**i) Re-activation of Temporarily suspended Client Account.**

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

**j) Re-activation of already closed Client Account.**

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

**k) Deregistering a client :-**

Notwithstanding anything to the contrary stated in the Mandatory & Voluntary Client Registration Document, the stock broker shall be entitled to terminate the Mandatory & Voluntary Client Registration Document with immediate effect at its sole discretions 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 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.
- (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 the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
  - (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other the Mandatory & Voluntary Client Registration Document with the Stock broker;
  - (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;
  - (vii) If the Client is in breach of any term, condition or covenant of this the Mandatory & Voluntary Client Registration Document;
  - (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
  - (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;
  - (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
  - (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 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;
  - (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;
- (a) Entry related to contract or bill generation for buy/sell transaction or
  - (b) Entry related to payment of funds or securities by client or
  - (c) Entry passed by the broker by way of JV due to any lawful dues / lawful obligation recoverable from client including but not limited to auction charges, any penalty amount whether or not imposed by Exchange or SEBI or other authorities etc. In relation to Clients Trade Obligations.

To designate the client's account as Dormant / In-active account, the period of 12 months shall be counted from the last day of respective month in which any of the aforesaid last transaction took place. In case Broker treats the account of client as a dormant / in-active account, the funds or securities lying with the broker shall be refunded / returned to clients immediately. In order to Reactive the account, client needs to instruct the Broker in writing atleast 3 working days in advance at its Mumbai H.O./ Regional office / branch office. The stock broker will try to promptly reactivate the said account subject to fulfillment of such conditions as stock broker may consider fit and proper. Such written request may also be sent by Client himself to compliance department through Fax on-022-66240849 or e-mail on [gthanvi@samuraisec.co.in](mailto:gthanvi@samuraisec.co.in) from client's own e-mail account registered with stock broker. However, stock broker may , at its own discretion, waive / reduce the period of 3 working days as the circumstances may warrant on case to case basis.

**Client Acceptance of Policies and Procedures stated hereinabove:**

I/We have fully understood the above policies & procedures and do hereby sign the same. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us in writing and as per the Client consent with through any approved one or more means or methods. These Policies and Procedures shall always be read along with the rights and obligations 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.

**I) Policy for Dormant / In-active account:**

As per stock broker's RMS policy, the client account in which no transactions have taken place during the period of not more than 12 months from the date of last transaction, the same shall be considered as Dormant / In-active account. Such transaction date may relate to any of the following date, which ever is later:



# TARIFF SHEET

Capital Segment / Cash Market								
JOBGING					DELIVERY			
Brokerage on side	Min (P)	Max (%)	Slab No		Min (P)	Max ( % )	Slab No	
1st Side								
2nd Side (Same Day Sq.Off)								
F & O / Derivatives / Currency Derivatives Segment								
FUTURE					OPTION			
Brokerage on side	Min (P)	Max ( % )	Slab No		Min (P)	Max ( % )	Per lot	Slab No
1st Side								
2nd Side (Same Day Sq.Off)								

## Other Applicable Charges

- A. Stamp Duty      B. GST      C. STT      D. Statutory Cost      E. Exchange Turnover Charge  
F. Clearing Turnover Charge

Minimum Brokerage will be applicable for futures and options trading and Brokerage on options contract will not exceed 2.5% of the premium amount or Rs.100/- ( per lot) whichever is higher.

I / We agree with above brokerage slab.

8/22 ⊗

Client Signature

Date

To,

**SAMURAI SECURITIES PVT LTD.**

303/306 3<sup>rd</sup> floor Raheja Chambers,  
Free Press Journal Marg Nariman Point,  
Mumbai 400 021.

**Sub :- Running Account Authorization**

I/We do have thoroughly read and understood that this is a Voluntary Document and can revoke any clause of it at any point of time by giving written notice for the following:

- (1) About Voluntary Document: I/We do hereby declare and confirm that I/We have thoroughly read and understood the voluntary document attached to KYC form and do accord consent for the same.
- (2) About Running Account Authorization: I/We do hereby declare and confirm that my/our account is to be maintained in Running Account mode as voluntarily agreed in Voluntary Document. I/We also specifically understand and agree that:
  - (a) This authorization is signed by me/us only and not by my/our authorized person/POA holder.
  - (b) For my/our outstanding obligation / balance on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin or other obligations for next 5 trading days, calculated in the manner specified by the exchanges.
  - (c) Kindly settle my account for funds at { } quarterly OR { } monthly settlement basis.  
(Please tick whichever is applicable)
  - (d) I/we are here confirming that it is my/our responsibility to bring to your notice any dispute from my/our end, arising from statement of account or settlement. The same should be provided in writing by me/us preferably within 7 days of receipt of statement of funds & securities as the case may be.
  - (e) I/We here confirming that the condition of periodic settlement of running account may not be necessarily applicable on me if I/we lie under below mentioned category of clients and it is only done at the discretion of Broker:
    - (i) For the clients availing any margin trading facility as per SEBI circular.
    - (ii) For funds received from clients towards collaterals / margin in form of Bank Guarantee(BG), Fixed Deposit Receipts (FDR).
  - (f) In case of my/our request / demand, you shall transfer the funds/unpledge the securities within 1 working day of the request if the same are lying with you or within 3 working days of the request if the same are lying with Clearing Member/Clearing Corporation. Further, I fully understand that the funds / Securities will not be transferred to me within abovementioned time frame. If I owe any amount to Stock Broker in form of Debit in ledger maintained at Stock Brokers end, then fund will be release to me after setting off all dues.
  - (g) There shall not be any inter-client adjustments for the purpose of settlement of my/our running account.
- (3) About Electronic Contract Notes etc.: I/We do hereby declare and confirm to receive ECN, statement of accounts, daily margin statement and such other record/information/notice etc. to my/our E-mail ID mentioned in ECN document. In case of any change, I / We shall Communicate in writing through letter to you about the same. If I/We are availing Internet trading facility then the change in Email ID will be communicated through secured access by way of my/our specific user id and password.

9/22(X)

Client Signature

Client Name

To,:

**SAMURAI SECURITIES PVT LTD.**

303/306, 3rd floor, Raheja Chambers,  
Free Press Journal Marg,  
Nariman Point, Mumbai-400 021

Dear Sir,

**Subject : Declaration/Authorisation**

This has reference to my/our trading account with you. I /  
We hereby agree/request and authorise you as under:

**1. PAY OUT OF SECURITIES / FUNDS:**

In order to facilitate operations and for my/our convenience, I/We hereby request and authorise you to maintain a running account i.e. across the different Stock Exchange/s and segments with you, instead of settlement to settlement clearance of funds / securities due to me/us. The pay out of funds / securities may be retained by you. No interest shall be payable by you on such securities / funds so retained. I/We agree that you shall not be liable for any claim for loss of profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities / funds under this authorisation or otherwise. On written request from me/us you may release the funds / securities to me/us, if sufficient margins in respect of my/our trading, across the stock exchange(s) and across the segments of the stock exchange(s) are available with you.

**2. RECORDING OF CONVERSATION:**

I/We agree that you may tape-record the conversations between me/us and/or my/our representative and you, either personally or over the telephone, and hereby specifically permit you to do so. You may rely upon such recordings as and when required to resolve disputes, if any, in connection with the trading transactions.

**3. INTEREST ON DELAYED PAYMENTS:**

In the event that any amount is overdue from me towards trading either in the cash or derivative segments or on account of any other reason to you. I/We shall be charged delayed payment charges at the rate of 12% per annum and any change to be

intimated to me/us in writing. I/We hereby authorize you to directly debit the same to my/our account at the end of each month. Any Change in rate shall be intimated to me in writing.

**4. DEPOSITORY CHARGES :**

I/We also authorize you to debit charges for depository services to the trading account. I/We also further authorized you to debit my/our above mentioned trading account of any exchange / segment by depository charge for depository services provided by you.

**5. GENERAL LIEN:**

All monies, securities which you may hold on my/our account shall be held subject to a general lien for the discharge of my/our lawful obligations to you. I/We authorize you to sell or close out any part or all of the derivative contracts held in my/our account with you, if you at your sole discretion may deem it necessary for meeting my/our lawful obligations. Any or all such incidental expenses incurred by you in this connection shall be reimbursed by me/us.

You are entitled to consider any sum or money or security lying to the credit of my/our credit as margin received.

**6. CLEAR TITLE:**

I/We warrant that all or any securities deposited by me/us with you in respect of margin requirements or otherwise, shall be owned by me/us and that the title thereof shall be clear and free of encumbrances.

The securities sold through you on my/our account shall be only those belonging to me/us as legal, rightful and beneficial owner/s. I/We take full responsibility of any dispute regarding the title of the securities sold through you and state that I/We shall deal only in those securities that would be rightly owned by me/us.

I/We agree to immediately furnish information to you in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree is passed against me/us any garnishee order has been served upon me/us in respect of my/our obligations by a bank or decree or award is passed against me/us or if any litigation which may have material bearing on

my/our financial/legal capacity has been filed against me/us.

I/We confirm and undertake that none of the monies paid to or deposited by me/us with you is or shall be tainted with any form of illegality.

## 7. INFORMATION UPDATION:

I/We agrees to provide and continue to provide all details and request updated information about myself/ourselves as may be required by you including but not restricted to PAN number and state that all the details and facts represented by me/us to you are true.

## 8. RESPONSIBILITY FOR INVESTMENTS:

I/We acknowledge that you shall not be liable to provide me/us with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.

I/We also acknowledge that your employees are not authorized to give any such advice and that I/we will not solicit or rely upon any such advice from you or any of your employees.

I/We agree that in the event of your or any of your employees or officials providing any information, recommendation or advice to me/us, I/we may act upon the same at my/our sole risk and cost, and you shall not be liable or responsible for the same.

I/We assume full responsibility with respect to my/our investment decisions and transactions.

You, your officers, directors, partners, employees, agents shall have no liability with respect to any of my/our investment decisions or transactions.

## 9. COMPLIANCE WITH LAWS ( FOR NRIs):

I/We, being Non-Resident Indian (NRI) client, I/We agree to abide by Foreign Exchange Management Act and Rules and Regulations issued thereunder and comply with the guidelines, procedures and requirements stipulated in any and all circulars, notifications or directives issued by the Reserve Bank of India or any Government department or agency or regulatory authority in respect to NRI Investments in India from time to time. I/We further agree as under:

a) All my transactions/deposit/payment will be

routed only through my designated bank account with a designated bank for investments under the Portfolio Investment Scheme, details where of are given below.

Details of Designated Bank Account
Account No.
Type of Account: <input type="checkbox"/> NRO <input type="checkbox"/> NRE (Repatriable )/Non Repatriable <input type="checkbox"/> Others (Please specify) _____
Name of the Bank:
Branch
Address of the Bank:

- b) My aforesaid Designated Bank will deduct all applicable Taxes at source.
- c) I shall purchase/sell the securities on Repatriation/Non-repatriation basis through my NRE/NRO account.
- d) I shall deal in securities only on Delivery basis in Capital/Cash Segment of Stock Market.
- e) I shall ensure that the paid-up value of shares of any Indian Company purchased by me does not exceed 5 per cent of the paid-up value of shares issued by the Company or such other limit as may from time to time be specified by GOI/RBI/SEBI or any other regulatory authority.
- f) I have submitted a copy of my passport, RBI permission under Portfolio Investment Scheme (PIS) and letter from the Designated Bank giving my NRE/NRO Bank Account particulars, along with the Client Registration Form and the Mandatory & Voluntary Client Registration Document.

## 10. ERROR REPORTING:

I/We shall bring into your notice any errors/ differences/discrepancies (including execution prices, scrips or quantities) in writing or by an electronic mail or fax preferably within 7 working days of receipt of such statement of funds and / or securities or any communication from you.

In all cases you have right to reject or accept my/our objection. You shall not be responsible for any losses suffered by me/us on account of any late reports, statements or any errors in the report/statements computed by or received from any Stock Exchange.

#### **11. INDEMNIFICATION :**

I/We shall indemnify and keep you indemnified, saved, defended and harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to you directly or indirectly, owing to bad delivery of shares / securities and/or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through me/us during the course of my our dealings / operations on the Stock Exchange(s).

#### **12. NON-WAIVER :**

No failure or delay by you to exercise any right, power or privilege hereunder shall operate as a waiver nor shall any single or partial exercise of any right, power or privilege preclude you from further exercise thereof or the exercise of any other right, power or privilege granted hereunder.

#### **13. NOTICES:**

Any communication sent by you to me/us shall be deemed to have been properly delivered or served, even if such communication is returned to you as unclaimed / refused / undelivered, if the same is sent to my /our ordinary business address and / or ordinary place of residence and / or last known address, in any one or more of the approved modes of despatch used by you.

I/We dispense with the requirement of your sending any communication in physical form. Any communication sent by you in electronic form to my/our known e-mail address shall be binding on me/us.

#### **14. DEFAULT AND CONSEQUENCES THEREOF:**

I/We agree that I/We shall be deemed to have defaulted the terms of this undertaking in circumstances including but not restricted to the following:

- a) any delay in payment of margins, charges of delivery in respect of my/our trading account for transactions executed on my/our behalf.
- b) any contravention of the terms contained in this undertaking.
- c) any misrepresentation or false statement or omission, or misleading information supplied by me/us to you.

#### **15. FURTHER DOCUMENTATION**

I/We agree to complete any further documentation that may be required in relation to any of the securities dealings or by any of the regulatory authorities or under the policies as may be notified from time to time under any law, regulation, guideline, rule, byelaw, order or other edict having the force of law.

I/We do have thoroughly read and understood that this is a Voluntary Document and can revoke any clause of it at any point of time by giving written notice of the same and accordingly consent for the same.

I/We request you to kindly accept this letter and do the needful.

Thanking you,  
Yours truly,

10/22 <sup>ⓧ</sup> Client Signature
Client Name
Date
Place

Date :

To,  
Samurai Securities Pvt. Ltd.  
303/306, Raheja Chambers,  
Free Press Journal Marg,  
Nariman Point, Mumbai- 400 021.

**Subject : SMS & Email based Trade Alerts facility by stock Exchanges**

Dear Sir,

I/We aware that the stock exchanges have commenced a process of confirming to investors details of their transactions carried out through stock brokers vide SMS and Email alerts on mobile and email id of the investor respectively.

Accordingly, I/We record our consent to receive following

SMS and Email alerts : Yes ☐ No ☐

I/We provide herewith the mobile number and email id for receiving the details of the transaction

Mobile No. : \_\_\_\_\_

Email Id : \_\_\_\_\_

Registered in the name of : Self ☐ Family Member ☐

In case if registered in the name of family member then please fill up declaration given on page no.54

I/We also understand that stock brokers are required to provide information of mobile no. and email id to stock exchanges for their clients to avail this facility and I/We hereby authorized Samurai Securities Pvt. Ltd. to provide such information to the Stock Exchanges

I/We understand and agree that Samurai Securities Pvt. Ltd. may at its discretion conduct necessary checks to ascertain that the mobile number and email id above belong to me/us before passing information to the stock exchanges. Further, I/We understand and agree that Stock Exchanges may also carry necessary checks as they deem fit before enabling such facility to me/us.

I/We understand and agree that Samurai Securities Pvt. Ltd. is merely facilitating transmission of information in order that I/We are able to avail this facility and undertake to indemnify Samurai Securities Pvt. Ltd. , its employee and its affiliates from any losses/claims/damages that may arise in this regards.

Yours Faithfully,

Name of the client : \_\_\_\_\_

Signature of the Client : 11/22 (X) \_\_\_\_\_

## Issue of Documents in Electronic Form

Date

To,

**SAMURAI SECURITIES PVT. LTD,**  
303/306, 3rd floor, Raheja Chambers,  
Free Press Journal Marg, Nariman Point, Mumbai-400 021

Dear Sir,

### **Sub: Letter of Authority to Issue of Contract Notes, Bills, Account Statements, Margin Statements, Periodic Reports, Holding Statement, DP Bill and Other Documents in Electronic Format**

I/We hereby agrees to receive the contract notes, bills, ledgers, transaction statements, margin statements, holding statement, DP Bill, reports, letter, circulars, notices, etc. any in electronic form through email Id provided by me to Samurai Securities Pvt. Ltd.

I/We hereby agree to complete the necessary formalities that are required to be completed with regard to provisions of the Information Technology Act, 2000 and as per the SEBI's circular no. MRD/Dop/SE/Cir-20/2205 dated September 08, 2005 & the procedure prescribed for receiving the documents through electronic mode.

I/We hereby provide my/our..... (Email ID) to enable Samurai Securities Pvt. Ltd. to send the e-contract notes, bills, ledgers, transaction statements, holding statements, DP bills, reports, letters, circulars, notice etc. from time to time to me/us through the software installed at their end and I/We also ensure that I/We will initially download Signature Verifier Utility or any other software as may be advised by you from time to time on my/our computer and same shall be used for receiving, viewing, storing the e-contract notes, bills, ledgers, transaction statements, holding statements, DP bills, reports, letters, circulars, notices etc. that shall be sent by you from time to time in respect of the trades / transactions / transfer of securities that have been executed by me/us through your terminal.

I/We hereby agree to take the responsibility to retrieve and retain the e-contract notes, bills, ledgers, transaction statements, holding statement, DP Bill, reports, letters, circulars, notice etc. in electronic form through abovementioned e-mail ID. Samurai Securities Pvt. Ltd. will also provide /forward the second/duplicate copy of e-contract notes, bills, ledgers, transaction statements, holding statements, DP bills, reports, letters, circulars, notice etc. in respect of the relevant period on the abovementioned email Id only on the written request given by me/us for the same.

I/We hereby agree to use the password /Digital signature password for viewing, retrieving the e-contract notes, bills, ledgers, transaction statements, holding statements, DP bills, reports, letters, circulars, notices, etc. sent to me/us from time to time through the signature verifier utility provided by Samurai Securities Pvt. Ltd. I/We acknowledge that the service may require me/us to use a password/Digital signature Password and the email account and I/We will be responsible for the confidentiality and proper use of the same at all the times.

I/We hereby agree that the e-contract notes, bills, ledger, transaction statements, holding statement, DP Bill, reports, letters, circular notices etc. are sent from time to time to my/our email Id duly digitally signed and encrypted as attachment or otherwise shall be deemed to have been delivered to me/us in event of non receipt of bounced mail notification by the Samurai Securities Pvt. Ltd. through email id.

I/We further confirm that I/we am/are regularly verifying/checking the abovementioned account of e-mail ID and the same is my/our authorized e-mail ID for all purposes and in case of any change in the e-mail ID I/we will immediately inform in written to Samurai Securities Pvt. Ltd. for any such change.

Thanking you,

12/22 (X) Client Signature
Client Name



## Additional KYC form for opening Individual Demat Account

(To be filled by the Depository Participant)

DP Internal Ref No.								Date	D	D	M	M	Y	Y	Y	Y
DP ID	1	2	0	3	8	6	0	0	Client ID	0	0	0				

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

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

### Holder's Details

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

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

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

Status	Sub - Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual - HUF / AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual - Director <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) -----

### Guardian Details (In case the Sole/First/Second/Third Holder is a Minor)

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



<b>I/We</b> wish to receive dividend/ interest directly in to <b>my</b> bank account as given on page no. 9 through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

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

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

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
----------------------------------	---

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box.  
 If not marked the default option would be **first holder**.

<input type="checkbox"/> first Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

### Nomination Details

UCC CODE	Nomination Registration No.	Dated

- ☐ I/We hereby confirm that I/We **do not wish to appoint any nominee in my demat account and /or trading account** 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 demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.
- ☐ **I/We nominate** the following persons who is / are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event my/our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:			
Middle Name:			
*Last Name			
<b>*Percentage of allocation of securities</b> <input type="checkbox"/> Equally [If not equally, please specify percentage] Or <input type="checkbox"/> Share of each Nominee	%	%	%
<b>Any odd lot after division shall be transferred to the first nominee mentioned in the form</b>			
Nomination Identification Details – [Please tick any one of following and provide details of same]	Nominee 1	Nominee 2	Nominee 3
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID (Optional Fields)			
*Address:			
*City			
*State			
*Pin			
*Country			
Mobile/Telephone No. [Optional Fields]			
Email ID: [Optional Fields]			
FAX No. [Optional Fields]			

Nomination Details	Nominee 1	Nominee 2	Nominee 3
*Relationship with the BO:			
<b>To be filled only if nominee(s) is a minor:</b>			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy			
Name of the Guardian of Nominee (if nominee is a minor) *First Name: Middle Name: *Last Name			
*Address of the guardian of nominee:			
*City			
*State			
*Country			
*PIN			
Age			
Mobile /Telephone no [Optional Fields]			
Email ID: [Optional Fields]			
Fax No. [Optional Fields]			
*Relationship of the Guardian with the Nominee			
Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			

**Note :** Residual securities: in case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee . -

**\* Marked is Mandatory field**

**Note:**

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination /negative nomination

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

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

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

	<b>First/Sole Holder or Guardian (in case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			
Signatures	13/22 ⊗	⊗	⊗

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

### Additional KYC form for opening Non-Individual Demat Account

(To be filled by the Depository Participant)

DP Internal Ref No.

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

DP ID

1	2	0	3	8	6	0	0	Client ID	0	0	0						
---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--	--

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

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

## Holder's Details

[illegible]

Name \*

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

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

Status					Sub-Status									
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Funds <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> LLP <input type="checkbox"/> Other (Specify)					To be filled by the DP									
SEBI Registration No. (If applicable)					SEBI Registration Date		D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)					RBI Approval Date		D	D	M	M	Y	Y	Y	Y
Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify _____)														
I/we instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')							(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No							
I/ We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')							<input type="checkbox"/> Yes <input type="checkbox"/> No							
Account Statement Requirement				<input type="checkbox"/> As per SEBI regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly										
I/ we request you to send Electronic Transaction-cum-Holding Statement at the email ID :							<input type="checkbox"/> Yes <input type="checkbox"/> No							
I/We would like to Share the Email ID with the RTA							<input type="checkbox"/> Yes <input type="checkbox"/> No							
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)							<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic							

Clearing Member Details (To be filled by CMS only)			
Name of the Stock Exchange			
Name of the CC / CH			
Clearing Member ID		Trading Member ID	

I / We wish to receive dividend / interest directly in to my bank account given on page no. 9 ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

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

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

	<b>First/Sole Authorised Signatory</b>	<b>Second Authorised Signatory</b>	<b>Third Authorised Signatory</b>
Name			
Designation			
Signatures	13/22 (X)	(X)	(X)

(In case of more authorised signatories, please add annexure)  
(Signature should be preferably in blue ink)

## **RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES**

### **General Clause**

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

### **Beneficial Owner information**

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

### **Fees/Charges/Tariff**

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

### **Dematerialization**

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

### **Separate Accounts**

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

### **Transfer of Securities**

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

### **Statement of account**

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



to forward the statement of demat accounts in physical form.

17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

#### **Manner of Closure of Demat account**

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

#### **Default in payment of charges**

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

#### **Liability of the Depository**

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

#### **Freezing/ Defreezing of accounts**

23. The Beneficial Owner may exercise the right to

freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

#### **Redressal of Investor grievance**

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

#### **Authorized representative**

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

#### **Law and Jurisdiction**

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

### Demat Debit and Pledge Instruction (DDPI)

I/ We have a depository beneficiary account of Central Depository Services (India) Ltd., with demat account no. 12038600000\_\_\_\_\_ in the name of \_\_\_\_\_

\_\_\_\_\_ with **Samurai Securities Private Limited** having its ☒ 14/22 registered office at 303/306, Raheja Chambers, Free Press Journal Marg, Nariman Point, Mumbai-400021.

I/ We authorize Samurai Securities Private Limited to access my/ our above mentioned account for

Sr. No.	Purpose	Signature of the client
1	For transfer of securities held in my/our above mentioned beneficial owner account towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchange through Samurai Securities Private Limited	<input checked="" type="checkbox"/> 15/22
2	For pledging / re-pledging of securities in favour of Samurai securities Private Limited (TM) / clearing member (CM) for the purpose of meeting my/ our margin requirements in connection with the trades executed by me/ us on the Stock Exchange.	<input checked="" type="checkbox"/> 16/22
3.	For Mutual Fund transactions being executed on Stock Exchange order entry platforms	<input checked="" type="checkbox"/> 17/22
4.	For tendering shares in open offers through Stock Exchange platforms	<input checked="" type="checkbox"/> 18/22

This Authority is restricted to transfer of securities to the below mentioned accounts to meet my /our margin obligation and towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchange through Samurai Securities Private Limited

Types of Account	BSE	NSE
POOL (NSDL)	CMBP ID IN 609394	CMBP ID In512905
PRINCIPAL (CDSL) -Cash Segment	1203860000000595	1203860000000616
TM POOL (CDSL) – F&O Segment	1203860000013564	
EARLY PAY IN	1100001000015151	110000100017706
TM/CM MARGIN PLEDGE ACCOUNT	1203860000011795	IN30012611282416

I / we further agree and confirm that the powers and authorities conferred by this DDPI shall continue until it is revoked/ cancelled by me.

However, such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of DDPI.

SIGEND AND DELIVERED

**For Samurai Securities Private Limited**

Client Signature 19 /22 ☒

Date :

**Jugal Kishore Maheshwari**  
(Director)

# SAMURAI®



Regd. & Admin Off.: 303/306, 3rd floor, Raheja Chambers, Free Press Journal Marg, Nariman Point, Mumbai-400 021  
Tel No.: 66240800 / 853 / 858 Fax : 66240849 Email : investor\_samurai@yahoo.com

## TARIFF PLAN FOR DEMAT

Particulars	Scheme A & Scheme F (Individual)	Scheme B (Non Individual)	BSDA
Account Maintaining Charges	Rs. 250/- (per annum)	Rs. 1000/- (per annum)	Value of Holdings Up to Rs. 4 lakhs - NIL Value of Holdings More than Rs. 4 lakhs but up to Rs. 10 lakhs - Rs. 100 (per annum)
<b>Transaction Charges</b>			
On Market (Sell) / Early Payin	0.02% and Min 10/- Max Rs.50/- Per transaction	0.02% and Min 10/- Max Rs.50/- Per transaction	0.02% and Min 10/- Max Rs.50/- Per transaction
Off Market (purchase / Sell)	0.02% and Min 10/-	0.02% and Min 10/-	0.02% and Min 10/-
Custody Charges	NIL	NIL	NIL
Dematerialization per Certificate	Rs. 25/-	Rs. 25/-	Rs. 25/-
Rematerialization	Rs. 25/- (per 100 Shares) + Depository Charges	Rs. 25/- (per 100 Shares)+ Depository Charges	Rs. 25/- (per 100 Shares)+ Depository Charges
Courier charge Per DRF/RRF	Rs. 25/-	Rs. 25/-	Rs. 25/-
<b>Pledge/Hypothecation Charge</b>			
Pledge Creation	0.0025 % or min Rs.100 and max Rs. 5000 per transaction	0.0025 % or min Rs.100 and max Rs. 5000 per transaction	0.0025 % or min Rs.100 and max Rs. 5000 per transaction
Closure and Invocation	Rs. 100 per transaction	Rs. 100 per transaction	Rs. 100 per transaction
<b>Margin Pledge Charge</b>	Rs. 20/- Per transaction	Rs.20/- Per transaction	Rs.20/- Per transaction
Creation / Closure / Invocation			

Billing will be done on Monthly basis.

Statement of Transaction will be sent to A/c holder on Monthly basis. Any additional statement will be charged @ Rs. 15/- per statement.

Rs. 100/- will be charged for Dis-honour of Cheques.

GST as applicable, would be levied.

Rates are subject to revision from CDSL. The above charges are subject to revision by Samurai Securities Pvt. Ltd.

I/We have chosen Scheme ----- (A, F, B, & BSDA) for the purpose of opening of DP account.

I agree to abide by all the charges and conditions prescribed in the Tariff Scheme.

(X) 20/22

(Sole/First Holder)  
Name & Signature

(X)

(Second Holder)  
Name & Signature

(X)

(Third Holder)  
Name & Signature

**Annexure 2.4**

**Terms And Conditions-cum-Registration /  
Modification Form for receiving SMS Alerts from CDSL  
(SMS Alerts will be sent by CDSL to Bo's for all debits and for all credits as well)**

**Definitions:**

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

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

**Availability:**

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

**Receiving Alerts:**

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

4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

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

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

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

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

BOID

1	2	0	3	8	6	0	0		0	0	0						
---	---	---	---	---	---	---	---	--	---	---	---	--	--	--	--	--	--

( Please write your 8 Digit BOID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which  
messages are to be sent

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

The mobile number is registered in the name of : \_\_\_\_\_

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

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

21/22 (X)

Signatures

Sole / First Holder

(X)

Second Holder


(X)

Third Holder

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

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



		<b>FATCA-CRS Declaration &amp; Supplementary KYC Information</b> <b>Declaration Form for Individuals</b> <i>Please seek appropriate advice from your tax professional on your tax residency, related FATCA &amp; CRS guidance</i>							
PAN / PEKRN*									
Name									
Address Type [for KYC address]		<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business		Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> US <input type="checkbox"/> Others <i>(please specify)</i>			
Place of Birth					Country of Birth				
Gross Annual Income Details in INR		<input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 Lacs - 1 Cr <input type="checkbox"/> > 1 Crore			Occupation Details [Please tick any one (✓)]		<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others [Please specify] _____		
Net Worth in INR. In Lacs & Date [Optional]		_____ dd-mmm-yyyy							
Politically Exposed Person [PEP]		<input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable			Any other information [if applicable]		[Please specify]		

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India?   Yes ☐ No ☐

**If 'Yes', please fill for all countries** (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type [TIN or other, please specify]	If TIN is not available, please tick the reason A, B or C [as defined below]
1				→ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
2				→ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>


- Reason A → The country where the Account Holder is liable to pay tax does not issue TIN to its residents.
- Reason B → No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]
- Reason C → Others – Please specify the reasons \_\_\_\_\_


**Declaration:**

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you [SSPL/RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize SSPL/ Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my/our account or close or suspend my /our account(s) without any obligation of advising me/us of the same.

Date:  
Place:

Signature:

 22/22

		<h2 style="margin: 0;">SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA, CRS &amp; ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM FOR NON-INDIVIDUALS</h2> <p style="font-size: small; margin: 0;">(Please consult your professional tax advisor for further guidance on FATCA &amp; CRS classification)</p>													
Name of the entity															
Type of address given at KRA		<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office													
PAN						Date of Incorporation		D D		M M		Y Y		Y Y	
City of incorporation															
Country of incorporation															
<b>ADDITIONAL KYC INFORMATION</b>															
Gross Annual Income (Rs.) [Please tick (✓)]		<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1 - 5 Lacs <input type="checkbox"/> 5 - 10 Lacs <input type="checkbox"/> 10 - 25 Lacs <input type="checkbox"/> >25 Lacs - 1 Crore <input type="checkbox"/> >1 Crore													
<b>OR</b>															
Net-worth		Rs. _____				as on		D D		M M		Y Y		Y Y	
														(Not older than 1 year)	
Politically Exposed Person (PEP) Status* (Also applicable for authorised signatories/ Promoters/ Karta/ Trustee/ Whole time Directors)								<input type="checkbox"/> I am PEP <input type="checkbox"/> I am Related to PEP <input type="checkbox"/> Not Applicable							
<small>*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</small>															
Non-Individual Investors involved/ providing any of the mentioned services								<input type="checkbox"/> Foreign Exchange / Money Changer Services <input type="checkbox"/> Gaming / Gambling / Lottery / Casino Services <input type="checkbox"/> Money Lending / Pawning <input type="checkbox"/> None of the above							
<b>FATCA &amp; CRS Declaration</b>															
Please tick the applicable tax resident declaration -															
1. Is "Entity" a tax resident of any country other than India <input type="checkbox"/> Yes <input type="checkbox"/> No <small>(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)</small>															
Sr. No.	Country	Tax Identification Number*	Identification Type <i>(TIN or Other, please specify)</i>												
1.															
2.															
3.															
<small>* In case Tax Identification Number is not available, kindly provide its functional equivalent.          In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.</small>															
In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here <div style="border: 1px solid black; height: 20px; width: 100%;"></div>															
<b>PART A</b> (to be filled by Financial Institutions or Direct Reporting NFEs)															
1. We are a, Financial institution <input type="checkbox"/> or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)		<b>GIIN</b> <div style="border: 1px solid black; width: 300px; height: 20px;"></div> <b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____													
<b>GIIN not available</b> (please tick as applicable)		<input type="checkbox"/> <b>Applied for</b> <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <div style="border: 1px solid black; width: 40px; height: 20px;"></div> (Refer 1 A of Part C)													
<b>PART B</b> (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")															
1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)					Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____									
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)					Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____									
3.	Is the Entity an active NFE (Refer 2c of Part C)					Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <div style="border: 1px solid black; width: 40px; height: 20px;"></div> (Mention code – refer 2c of Part C)									
4.	Is the Entity a passiveNFE (Refer 3(ii) of Part C)					Yes <input type="checkbox"/> Nature of Business _____									

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)			
<b>Category</b> (Please tick applicable category): <input type="checkbox"/> Unlisted Company <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Limited Liability Partnership Company <input type="checkbox"/> Unincorporated association / body of individuals <input type="checkbox"/> Public Charitable Trust <input type="checkbox"/> Religious Trust <input type="checkbox"/> Private Trust <input type="checkbox"/> Others (please specify _____)			
Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). <i>(Please attach additional sheets if necessary)</i> Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)			
Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN <sup>#</sup>			
Address	Zip <input style="width: 150px;" type="text"/> State: _____ Country: _____	Zip <input style="width: 150px;" type="text"/> State: _____ Country: _____	Zip <input style="width: 150px;" type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID <sup>%</sup>			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) <sup>\$</sup>			
* To include US, where controlling person is a US citizen or green card holder #If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable. %In case Tax Identification Number is not available, kindly provide functional equivalent \$Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary			
FATCA - CRS Terms and Conditions			
The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.  Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.		Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.  If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.  It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.	
<b>Certification</b> I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it. I/We hereby authorize you [SSPL/RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ("the Authorized Parties") or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries / or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize SSPL/ Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my/our account or close or suspend my/our account(s) without any obligation of advising me/us of the same.			
Name			Designation
<div style="border: 1px solid black; padding: 5px; display: flex; align-items: center;"> <span style="font-size: 24px; margin-right: 10px;">X</span> <span style="font-size: 24px; margin-right: 10px;">22 / 22</span> <span style="flex-grow: 1; border-bottom: 1px solid black; position: relative;"> <span style="position: absolute; bottom: -2px; left: 0; right: 0; border-top: 1px solid black;"></span> </span> </div> <div style="text-align: center; margin-top: 5px;">Signature</div>	<div style="border: 1px solid black; padding: 5px; display: flex; align-items: center;"> <span style="font-size: 24px; margin-right: 10px;">X</span> <span style="font-size: 24px; margin-right: 10px;">22 / 22</span> <span style="flex-grow: 1; border-bottom: 1px solid black; position: relative;"> <span style="position: absolute; bottom: -2px; left: 0; right: 0; border-top: 1px solid black;"></span> </span> </div> <div style="text-align: center; margin-top: 5px;">Signature</div>		Place _____  Date ____/ ____/ ____

## Form A

### Declaration to be submitted by the investors for availing the benefits under the Rajiv Gandhi Equity Savings Scheme.

Name of the Client:

(first holder)

Address of the Client:

Permanent Account Number (PAN):

1. It is hereby certified that\*
  - (a) I do not have a demat account and I have not traded in any derivatives.
  - (b) I have demat account no ..... in ..... depository participant but I have not traded in any equity shares or derivatives in this account.
  - (c) I have a joint demat account no ..... in ..... depository participant but I am not the first account holder.
2. I hereby declare that I have read and understood all the terms and conditions of the Rajiv Gandhi Equity Savings Scheme.
3. It is hereby verified that I am an eligible new retail investor for availing the benefits under the Rajiv Gandhi Equity Savings Scheme.
4. I undertake to abide by all the requirements and fulfil all obligations under the Scheme, and will comply with all the terms and conditions of the Scheme.
5. I understand that, in case I fail to comply with any condition specified in the Scheme, the benefits availed thereunder will be withdrawn and the tax shall be payable by me accordingly.

Signature of the Client

Place:

Date:

\*Tick which ever is appropriate.

### Declaration by HUF Members

We, the undersigned, hereby declare that we are the members of Joint Hindu Undivided Family (HUF) M/s \_\_\_\_\_ and that Mr/Ms. \_\_\_\_\_ is the Karta of our joint family and as such Karta is entitled to deal with you to negotiate and finalize terms & conditions for opening the Trading/Demat Account & completing the formalities as prescribed by SEBI/Exchanges/Depository. and with respect to operate the said Demat/Trading A/c as far as the share transactions of the HUF A/c is concerned in connection with the said Joint Hindu Undivided Family.

We further declare that the business of the said Joint Hindu Undivided Family is carried on mainly by the said Karta in the interest and benefit of the said Joint Hindu Undivided Family.

We hereby declare & confirm the name of members/ co-parceners of HUF as below :

SR. NO.	NAME	KARTA/ CO-PORCENERS	RELATIONSHIP WITH KARTA	DATE OF BIRTH
1)		KARTA		
2)		CO-PORCENERS		
3)		CO-PORCENERS		
4)		CO-PORCENERS		
5)		CO-PORCENERS		

We also undertake that any claim due to you from said Joint Hindu Undivided Family shall be recoverable from us.

We hereby state that details mentioned as above are true and we undertake to inform you any change in the constitution of the HUF by any reason including due to any addition of members of the HUF.

Yours faithfully,

(X)

(Signatures of all members)

In case of Karta along with rubber stamp of HUF

### Declaration to be given by family member of applicant for SMS and EMAIL Alerts

I, \_\_\_\_\_ would like to inform you that, I do not have any objection with my E-mail Id and mobile number being updated with my family member's accounts at M/s. Samurai Securities Pvt. Ltd.

The email ID is : \_\_\_\_\_

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

Details of the family members in whose account the Email ID and / or Mobile Number is requested to be allowed:

To be allowed in accounts (Client Code and/ or BO ID)	Name of the family members/ Account Holders	Relationship with the person in whose name the mobile and /or Email is registered (Dependent Parent/ Dependent Child/ Spouse)

Details and signature of the name of the person in whose name the above Mobile and /or Email Id is registered

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

Signature: (X) \_\_\_\_\_ Date: \_\_\_\_\_

Applicant's Signature: (X) \_\_\_\_\_

Applicant's Name: \_\_\_\_\_

## Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

### 1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
  11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non



receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.

16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

#### 17. Indemnity:

In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

#### 18. Disclaimer:

Depository shall be absolved of any liability in case:-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

Transactions Using Secured Texting Facility (TRUST).	I /We wish to avail the TRUST facility using the Mobile Number registered for SMS alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No		
	I/We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TRUST		
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

(X)

Sole / First Holder

(X)

Second Holder

(X)

Third Holder

**CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF (COMPANY NAME) HELD AT ITS REGISTERED OFFICE AT \_\_\_\_\_ ON \_\_\_\_\_ DAY OF \_\_\_\_\_ 20\_\_ AT \_\_ A.M /P.M.**

RESOLVED THAT a Demat account and /or Trading account be opened in the name \_\_\_\_\_ with Samurai Securities Pvt. Ltd. for buying, selling and holding of investments, shares/ debentures/ investments in mutual funds units and other investment product.

RESOLVED FURTHER THAT following Directors/Executives/Officers/Authorized Signatory of the Company, whose specimen signatures are appended here under:

Sr. No.	Name of Authorised person	Designation	Specimen Signature
1			
2			

Be and are hereby authorized jointly or severally to

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

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

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any two of the Directors or Company Secretary of the Company be furnished to SAMURAI SECURITIES PVT LTD. and such other parties as may be required from time to time.

CERTIFIED TRUE COPY

⊗

NAME & DESIGNATION OF SINGING AUTHORITY

⊗

NAME & DESIGNATION OF SINGING AUTHORITY

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

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

***This page has been left intentionally blank***

# SAMURAI SECURITIES PVT LTD.

**Client Name :**

**Client Code :**

Sr. No.	Particulars	Yes/No	Date	Signatures
1	KYC Documents Verified and Authorised	Yes/No		
2	PAN verified	Yes/No		
3	UN Check	Yes/No		
4	C KYC Registration Number	Yes/No		
5	KRA Upload / Fetch ( CVL/NDML/DOTEX) Registration Number	Yes/No		
6	CDAS Upload	Yes/No		
7	Tradeplus / Cross Software Upload	Yes/No		
8	UCC Upload (BSE)	Yes/No		
9	UCI Upload (NSE)	Yes/No		
10	Mutual Funds Registration	Yes/No		
11	Brokerage	Yes/No		
12	Dispatch to Client : Welcome Letter & Copy of KYC Form includes	Yes/No		

Mandatory Docs.:	Voluntary Docs.:
✓ Account Application Form	<input checked="" type="checkbox"/> Running Account Authorization
✓ Rights and Obligations	<input checked="" type="checkbox"/> Declaration/Authorization
✓ Risk Disclosure Document	<input checked="" type="checkbox"/> Documents in Electronic Form
✓ Guidance Note	<input checked="" type="checkbox"/> DP Account Opening Form / DIS Book
✓ Policies and procedures	<input checked="" type="checkbox"/> PMLA write up
✓ Tariff Sheet	<input type="checkbox"/> Other.....

⊗ **Signature**  
(Only In case of hand delivery of KYC Form Photocopy and Welcome Letter)

The following Documents are MANDATORY as per the SEBI circular CIR/MIRSD/16/2211, dated 22<sup>nd</sup> August 2011

1. Account Opening Form
2. Rights and Obligations
3. Risk Disclosure Document
4. Guidance Note
5. Policies and Procedures
6. Tariff Sheet

All other documents are VOLUNTARY and at the discretion of the Client.

---

### **Cash Receipts and Payments are not allowed**

You are requested to make payments only by account payee crossed cheque / account transfer / RTGS /demand draft / pay-order in the name of "SAMURAI SECURITIES PVT LTD.". Payment should not be made in any other name.

---

In terms of circular no. NSE / INVG / PRE / 2003 /16 dated 25th November. 2003, issued by National Stock Exchange of India Ltd. The broker member is obliged to disclosed to its clients / constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that depending upon the market conditions, we members, our directors our directors or its associates, do invest / trade in capital/derivatives segment. The same may be noted.

---

Members are hereby informed that SEBI, vide letter Ref. SEBI/MRD/SE/Cir-42/2203 dated\_19th November, 2003 issued by Bombay Stock Exchange Ltd, Mumbai the broker member is obliged to disclose to its clients / constituents whether the member is trading in his own account or not. Accordingly we hereby inform you that depending upon the market conditions, we members, our directors our directors or its associates do invest / trade in capital / derivatives segment. The same may be noted.

---

## **SAMURAI SECURITIES PVT. LTD.**

**Regd. & Admin Office :** 303/306, 3rd floor, Raheja Chambers, Free Press Journal Marg, Nariman Point, Mumbai-400 021  
**Tel No.:** 66240800 / 853 / 854 **Fax :** 66240849 **Email :** investor\_samurai@yahoo.com  
**CIN :** U67120 MH2001PTC133849