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Name of Stock Broker/ Trading Member/Clearing Member & Depository Participant	HPMG SHARES & SECURITIES PRIVATE LIMITED		
Single SEBI Registration No. across All Exchange & Segment	INZ000187530		Dated: 30 JULY 2018
DETAILS OF TRADING MEMBER ID / DP ID / AMFI ID / MERCHANT BANKING REGISTRATION NO. & CIN NO.	NSE TM ID	13002	
	BSE TM ID	6118	
	MSEI TM ID	39200	
	CDSL DP ID & REGN NO.	12069200	IN-DP-163-2015 Dated: 18 NOV 2015
	AMFI NO.	153982	Dated: 29 SEP 2018
	MERCHANT BANKING REGN. NO.	INM000012607	Dated: 22 OCT 2018
	CIN NO.: U67190MH2007PTC176790		
Registered Office Address	Office No. 201/202, 2nd Flr, Raj Kamal Next to Shreeji Arcade S V Rd; Kandivali West Mumbai- 400067		
Compliance & Principal officer name & Phone no. & Email id:	NAME:	MR. HASIT B. PANDYA	
	PHONE NO.	022-62317600	
	EMAIL ID:	HASIT@HPMGSHARES.COM	
DETAILS OF DIRECTORS & NAME, CONTACT NO. & EMAIL ID	MR. HASIT B. PANDYA	022-62317677	HASIT@HPMGSHARES.COM
	MR. MEHUL C. GANDHI	022-62317676	MEHUL@HPMGSHARES.COM
	MR. AMOL DHARIYA	022-62317600	AMOL@HPMGSHARES.COM
For any grievance/ dispute please contact HPMG SHARES & SECURITIES PRIVATE LIMITED at the above address or In case not satisfied with the response, please contact the concerned exchange (s) & Depository Participants at:			
NATIONAL STOCK EXCHANGE OF INDIA LIMITED	ignse@nse.co.in	Toll Free No.: 18002660058	
BOMBAY STOCK EXCHANGE LIMITED	is@bseindia.com	(022) 22728097, 22728517	
METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED	investorcomplaints@msei.in	(022) 61129000	
CENTRAL DEPOSITORY SERVICES INDIA LIMITED	complaints@cdslindia.com	Toll free: 1800-22-5533	
Please visit our website: <a href="http://www.hpmgshares.com">www.hpmgshares.com</a> for PMLA Policy			
<b>CHECK LIST FOR NRI ACCOUNT OPENING</b>			
1. PANCARD			
2. INDIAN ADDRESS PROOF IF ANY			
3. FOREIGN ADDRESS (MANDATORY)			
4. NRI BANK ACCOUNT DETAILS			
5. NRI PIS ACCOUNT DETAILS ALONG WITH RBI REFERENCE NO.			
6. PASSPORT			
7. OCI OR PIO CARD			
8. VISA PAGE XEROX FOR LAST LANDED IN INDIA WITHIN 6 MONTHS			
DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003 HPMG SHARES & SECURITIES PRIVATE LIMITED caters to Institutional, Corporate, High net-worth and other retail clients through membership of various exchanges.			
HPMG SHARES & SECURITIES PRIVATE LIMITED besides doing client based business also does its own investment and/or trading.			
For HPMG SHARES & SECURITIES PRIVATE LIMITED		"Proprietary Trading Disclosure noted"	
	CLIENT NAME		
	CLIENT CODE		
	SIGNATURE OF CLIENT		
Director/Authorised Signatory			



**General Instructions:**

- 1 Fields marked with '\*' are mandatory fields.
- 2 Tick ' ' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick ( ) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **Mother's name or Father's name or Spouse's name** is mandatory. In case PAN is not available Father's name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section**

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

**F Clarification / Guidelines on filling 'Contact details' section**

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

**G Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section**

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

## 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 (To be filled by financial institution)	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update
KYC Number		(Mandatory for KYC update request)	
Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers)	<input type="checkbox"/> Small <input type="checkbox"/> OTP based E-KYC

☐ 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)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*	DD - MM - YYYY			
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 )		
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			

**PHOTO**

Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence*	
Tax Identification Number or equivalent (If issued by jurisdiction)*	
Place / City of Birth*	ISO 3166 Country Code of Birth*

☐ 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

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

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

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)(Certified copy of 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	please specify	
	<input type="checkbox"/> Simplified Measures Account - Document Type code				

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

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

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

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

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

☐ Same as Current / Permanent / Overseas Address details

☐ Same as Correspondence / Local Address details

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

☐ 5. CONTACT DETAILS (All communications will be sent on provided)

Tel. (Off)  -  Tel. (Res)  -  Mobile  -   
FAX  -  Email ID

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

☐ Addition of Related Person

☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor

☐ Assignee

☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name\*

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

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

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

☐ 7. REMARKS (If any)

Mobile no. / Email-ID) (Please refer instruction F at the end)

8. APPLICANT DECLARATION

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

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

Date :

Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date   
Emp. Name   
Emp. Code   
Emp. Designation   
Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name   
Code

[Institution Stamp]

**A. IMPORTANT POINTS:**

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- 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).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- 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.)

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

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

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- 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.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- 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:**

- 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).
- 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>Authorized 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>Authorized signatories list with specimen signatures</li> <li>Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>List of trustees certified by managing trustees/CA</li> <li>Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>PAN of HUF</li> <li>Deed of declaration of HUF/List of coparceners</li> <li>Bank pass-book/bank statement in the name of HUF</li> <li>Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>Proof of Existence/Constitution document</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>Self-certification on letterhead</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act</li> <li>List of Managing Committee members</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

**Please Submit the KYC Documents on A4 Size Paper Only.**



Details of Promoters / Parntners / Karta / Trustees and whole time directors forming a part of Know your Client (KYC) Application form for Non-Individuals

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

--	--	--	--	--	--	--	--	--	--

Sr No.	PAN	Name	DIN (for Directors) Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Name & Signatue of the Authorised Signatory(ies) \_\_\_\_\_ Date 

d	d
---	---

 / 

m	m
---	---

 / 

y	y	y	y
---	---	---	---



**ANNEXURE – 3**  
**For Individuals & Non-individuals**

**TRADING ACCOUNT RELATED DETAILS**

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

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

FOR NRI'S RBI PIS NO.: \_\_\_\_\_

**B. DEPOSITORY ACCOUNT(S) DETAILS (First Depository A/c. is default Depository A/c)**

Depository Participant details of the Client (In order of presence)			
DP Name	DP ID	Beneficiary A/C. No.	Depository Participant

Note: First Holder of A/c should be same as that of Trading Account .

**C. TRADING PREFERENCES**

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

EXCHANGE	SEGMENT		
	CASH	F & O	CURRENCY
BSE			
NSE			
MSEIL			

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

**D. OTHER DETAILS**

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

☐ Up to Rs. 1,00,000/-    ☐ Rs. 1,00,001/- to Rs. 5,00,000/-    ☐ Rs. 5,00,001/- to Rs. 10,00,000/-  
☐ Rs. 10,00,001/- to Rs. 25,00,000/-    ☐ Above Rs. 25,00,001/-

OR Net worth as on Date: \_\_\_\_\_ Rs. \_\_\_\_\_ (Net worth should not be older than 1 year & mandatory for Non-Individual)

2. Occupation (please tick any one and give brief details)

☐ Private Sector    ☐ Public Sector    ☐ Government Service    ☐ Business  
☐ Student    ☐ Professional    ☐ Agriculturist    ☐ Retired    ☐ Housewife  
☐ Others

3. Please tick if applicable

☐ Politically Exposed Person (PEP)    ☐ Related to a Politically Exposed Person (RPEP)



E. PASTACTION

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 (If yes please give details): \_\_\_\_\_

F. DEALING THROUGH SUB-BROKERS/REMISERS AND OTHER STOCKBROKERS

• If client is dealing through the sub-broker/remiser provide the following details:

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

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

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

- Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock broker	Name of Sub-broker, if any	Client Code	Exchange

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

G. ADDITIONAL DETAILS

• I/We request you to settle my/our fund and securities account ☐ Monthly ☐ Quarterly

(If you do not opt for any one option of the above we will settle your account once in a quarter as per the SEBI guidelines for quarterly settlement). (Except the funds given towards collaterals/margin in form of Bank Guarantee and / or Fixed Deposit Receipt.)

• Whether you wish to receive physical contract note or Electronic Contract Note (ECN) Specify

☐ Yes ☐ No

Your Email id for ECN : \_\_\_\_\_

• Whether you wish to avail of the facility of Internet Trading ☐ Yes ☐ No

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

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: Provide details on Annexure - A attached.

• Any other information \_\_\_\_\_

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

#### E. INTRODUCER DETAILS(OPTIONAL)

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

---

#### DECLARATION

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

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

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

**X:** \_\_\_\_\_

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

**TARIFF SHEET****MANDATORY****I. Brokerage Scheme**

	Max. (%)	Min. (Ps.)	Minimum Per Contracts
Delivery			

	1st Leg		2nd Leg		Minimum Per Contracts
	Max. (%)	Min. (Ps.)	Max. (%)	Min. (Ps.)	
Trading					
Derivatives					
Options					

**Notes:**

1. The above rates are exclusive of transaction charges, stamp duty, securities transaction tax, and GST, which will be charged extra at the rate prevailing from time to time.
2. All statutory charges are levied at actual, and will be payable by the client.
3. Brokerage shall not exceed maximum permissible limit as per rules and regulations of exchange/SEBI.
4. Late payment fees on debit balances, if any, not settled as per the exchange requirement will be charged @ 18%p.a.
5. DP transaction charges arising out of sale transaction effected by constituents against client's beneficiary account @ Rs 20 per scrip will be debited to client trading a/c.
6. We levy processing charges of Rs 25 per contract note issued, the same is waived off, where the brokerage per contract note is more than Rs 25 but where the brokerage is less than Rs 25, processing charge is reduced by the extent of the brokerage.
7. In the eventualities of cheque returning unpaid, a penalty will be debited to account in addition to delayed payment penalty.

Signature of the Client: X \_\_\_\_\_

Name of the Client : \_\_\_\_\_

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

# HPMG SHARES & SECURITIES PVT LTD

Registered/Corporate Office: Office No. 201/202, 2<sup>nd</sup>Flr, Raj Kamal Next to Shreeji Arcade  
S V Rd; Kandivali West Mumbai- 400067

Tel.No.:022-62317600•FaxNo.:022-62317689EmailDforredressalofInvestorGrievances:

[compliance@hpmgshares.com](mailto:compliance@hpmgshares.com)&[cdsl@hpmgshares.com](mailto:cdsl@hpmgshares.com) • Visit us at:

[www.hpmgshares.com](http://www.hpmgshares.com)Email Id:[info@hpmgshares.com](mailto:info@hpmgshares.com)



**DP ID: 12069200 • SEBI REG. NO.: IN-DP-163-2015 • CIN: U67190MH2007PTC176790**

## Additional KYC Form for Opening a Demat Account (Individual)

(To be filled by the Depository Participant)

Application No.											Date								
DP Internal Reference No.																			
DP ID	1	2	0	6	9	2	0	0	Client ID										

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

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

### Holders Details

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

Name*																		
*Incase 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"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Others (specify)	<input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI-Repatriable Promoter <input type="checkbox"/> Others (specify)	
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign – National	<input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify)		

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

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be 'Yes')												<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 perSEBIRegulation <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 emailID _____												<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/ We would like to share the email ID with the RTA _____												<input type="checkbox"/> Yes	<input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical andElectronic (Tick the applicable box. If not marked the default option would be inPhysical)													
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]												<input type="checkbox"/> Yes	<input type="checkbox"/> No

**I /we would like to receive the kyc documents (Rights & Obligation, Demat, DO's & Don'ts) POA and other documents**

**Executed by me / us in**

☐ Physical Mode ☐ Electronic Mode

BANK DETAILS (Dividend Bank Details)

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

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued,(or)
- (ii) Photocopy of the Bank Statement having name and address of theBO
- (iii) Photocopy of the Passbook having name and address of the BO,(or)
- (iv) Letter from the Bank.
- In case of options (ii),(iii)and(iv) above, MICR code of the branch should be present/mentioned on the document and it shall be self-certified by the BO.

MICR code starting with 000 will not be eligible for ECS.

OTHER DETAILS											
Gross Annual Income details (please specify): Income Range per annum											
<input type="checkbox"/> Up to Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/- <input type="checkbox"/> Rs.10,00,001/-toRs.25,00,000/- <input type="checkbox"/> Rs.25,00,001/-toRs.100,00,000/- <input type="checkbox"/> More Than Rs.100,00,000/-											
Net worth asonDate:_____Rs._____(Networthshould notbeolderthan1year)											
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Please provide details as per Annexure 2.2 A.											
Any other information											
SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	<input type="checkbox"/> Yes MOBILENO.+ 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).	<input type="checkbox"/> No									
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure – 2.6	I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We 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 <table><tr><td>Stock Exchange Name/ID</td><td>Clearing Member Name</td><td>Clearing Member ID (Optional)</td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></table>		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
easi	<input type="checkbox"/> Yes. 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.	<input type="checkbox"/> No									

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

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	X	X	X

(Signatures should be preferably in black ink).

(In case of more authorised signatories please add annexure)

## NOMINATION FORM

To,

**HPMG SHARES & SECURITIES PRIVATE LIMITED**

**Registered/Corporate Office:** Office No. 201/202, 2<sup>nd</sup>  
Flr, Raj Kamal Next to Shreeji Arcade S V Rd; Kandivali  
West Mumbai- 400067

Dear Sir/ Madam,

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

☐ I/We **do not wish to nominate any one for this demat account**

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

☐ I/We **nominate** the following person/s who is entitled to receive security balances lying in my/our account,

particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details															
DP ID	1	2	0	6	9	2	0	0	Client ID						
Name of the Sole / First Holder															
Name of Second Holder															
Name of Third Holder															
Nomination Details					Nominee 1					Nominee 2					
Nominee Name :															
*First Name:															
Middle Name:															
*Last Name															
*Address:															
*City:															
*State:															
*Pin:															
*Country:															
Telephone No:															
Fax No:															
Nomination Details					Nominee 1					Nominee 2					
PAN No:															
UID :															
Email ID:															
*Relationship with the BO:															
Date of birth (mandatory if Nominee is a minor):															
Name of the Guardian of Nominee (if the nominee is minor):															
*First Name:															
Middle Name:															
*Last Name															
*Address of the Guardian of Nominee															
Guardian of nominee:															
*City:															
*State:															
*Country:															
*Pin:															
Age															
Telephone:															
Fax No:															
Email ID:															
*Relationship of the Guardian with the Nominee:															
*Percentage of allocation of securities:															

**Note:** Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

**\* Marked is Mandatory field**

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

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note: **One witness** shall attest signature/ Thumbimpression.

Details of the Witness	
	Witness
Names of Witness	
Address of Witness	
Signature of Witness	

**(To be filled by DP)**

Nomination Form accepted and registered wide Registration No. \_\_\_\_\_ Dated \_\_\_\_\_.

**For HPMG SHARES & SECURITIES PRIVATE LIMITED**

**Authorized Signatory**



HPMG SHARES & SECURITIESPRIVATELIMITED

Registered/Corporate Office: Office No. 201/202, 2<sup>nd</sup>Flr, Raj Kamal Next to Shreeji Arcade S V Rd; Kandivali West  
Mumbai- 400067  
Tel. No.: 022-62317600 • Fax No.: 022-62317689  
Email ID for redressel of Investor Grievances: [compliance@hpmgshares.com](mailto:compliance@hpmgshares.com)&[cdsl@hpmgshares.com](mailto:cdsl@hpmgshares.com) • Visit us at: [www.hpmgshares.com](http://www.hpmgshares.com) Email Id:  
[info@hpmgshares.com](mailto:info@hpmgshares.com)



CDSL YOUR DEPOSITORY

AdditionalKYCFormforOpeningaDematAccount (For entities other thanIndividuals)

Application No.		Date																	
DP Internal ReferenceNo.																			
DP ID	1	2	0	6	9	2	0	0	Client ID										

(To be filled by the applicant in BLOCK LETTERS in English)  
I / We request you to open a demat account in my / our name as per the following details: -  
Holders Details

Sole / First Holder's Name																			
PAN																		Search Name	
Second Holder's Name																			
PAN																		UID	
Third Holder's Name																			
PAN																		UID	
Name*																			
*Incase 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"/> MutualFund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify)														To be filled by the DP					
Date of Incorporation																			
SEBI Registration No. (If Applicable)								SEBI Registration Date											
RBI Registration No. (If Applicable)								RBI Approval Date											
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others(specify) _____																	
I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be `Yes`)														<input type="checkbox"/> Yes <input type="checkbox"/> No					
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be `No`)														<input type="checkbox"/> Yes <input type="checkbox"/> No					
Account Statement Requirement		<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly																	
I / We request you to send Electronic Transaction-cum-Holding Statement at the Email ID _____														<input type="checkbox"/> Yes <input type="checkbox"/> No					
I/ We would like to share the email ID with the RTA _____														<input type="checkbox"/> Yes <input type="checkbox"/> No					
I / We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)																			

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange																				
Name of CC / CH																				
Clearing Member Id										Trading member ID										

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

I /we would like to receive the kyc documents (Rights & Obligation, Demat, DO's & Don'ts) POA and other documents  
Executed by me / us in  
☐ Physical Mode ☐ Electronic Mode

BANK DETAILS (Dividend Bank Details)

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

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued,(or)
- (ii) Photocopy of the Bank Statement having name and address of theBO
- (iii) Photocopy of the Passbook having name and address of the BO,(or)
- (iv) Letter from theBank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by theBO.

MICR code starting with 000 will not be eligible for ECS.

OTHER DETAILS		
Gross Annual Income details (please specify): Income Range per annum		
<input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/- <input type="checkbox"/> Rs.10,00,001/-toRs.25,00,000/- <input type="checkbox"/> Rs.25,00,001/-toRs.100,00,000/- <input type="checkbox"/> More Than Rs.100,00,000/- Net worth as onDate:_____Rs._____ (Net worth should not be older than 1year)		
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> Please provide details as per Annexure 2.2 A.		
Any other information:		
SMS Alert FacilityRefertoTerms&Con ditions givenasAnnexure-2.4	<input type="checkbox"/> Yes    MOBILENO.+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).	<input type="checkbox"/> No
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure – 2.6	I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We 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)
easi	<input type="checkbox"/> Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	
	<input type="checkbox"/> No	

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

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	X	X	X

(Signatures should be preferably in black ink). (In case of more authorised signatories please add annexure)

**Annexure 2.2 A. Details of Politically Exposed Persons (PEP)/Related to Politically Exposed Person (RPEP)**

Name of holder \_\_\_\_\_ PAN of the holder \_\_\_\_\_

Sr. No.	Name of the Authorised Signatories/Promoters/Partners/ Karta/Trustees/Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name &amp; Signature of the Authorised Signatories

Date \_\_\_\_/\_\_\_\_/\_\_\_\_

**PEP:** Politically Exposed Person**RPEP:** Related to politically Exposed Person

## **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.

## Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

### Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at **Marathon Futurex, A-Wing, 25th floor, N M Joshi Marg, Lower Parel, Mumbai 400013** 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 without 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

**Common Registration Form for availing SMS Alert and /or TRUST facility**

To,

**HPMG SHARES & SECURITIES PRIVATE LIMITED**

**Registered Office/Corporate Office:** Office No. 201/202, 2<sup>nd</sup> Flr, Raj Kamal Next to Shreeji

Arcade S V Rd; Kandivali West Mumbai- 400067

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

a. SMART-SMS alert facility ☐

b. TRUST- Transaction using Secured Texting facility ☐

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BOID

1	2	0	6	9	2	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name

:

Second Holder's Name

:

Third Holder's Name

:

Mobile Number on which messages are to be sent

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

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

(Existing users registered for SMS alerts: - Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

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)

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 purpose of availing the said facility.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies 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.

Signatures X Sole / First Holder X Second holder X Third Holder

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

**Form for registering Clearing Members on whose behalf the securities can be transferred from the account of the BO on the basis of SMS under TRUST facility**

To,

**HPMG SHARES & SECURITIES PRIVATE LIMITED**

**Registered/Corporate Office:** Office No. 201/202, 2<sup>nd</sup> Flr; Raj Kamal

Next to Shreeji Arcade S V Rd; Kandivali West Mumbai- 400067

Dear Sir/Madam,

I/We wish to register the following clearing members / IDs under my/our below mentioned BO ID registered for TRUST

BOLD: 

1	2	0	6	9	2	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

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

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

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

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/non-receipt of such SMS.

**X**

**X**

**X**

Signatures

\_\_\_\_\_  
Sole / First Holder

\_\_\_\_\_  
Second holder

\_\_\_\_\_  
Third Holder

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

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



**FEMA REGULATION (APPLICABLE ONLY FOR NRI)**

From: \_\_\_\_\_

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

To,  
**HPMG SHARES & SECURITIES PRIVATE LIMITED**  
**Registered/Corporate Office:** Office No. 201/202, 2<sup>nd</sup> Flr;  
Raj Kamal Next to Shreeji Arcade S V Rd; Kandivali West Mumbai- 400067

Dear Sir/Madam,

This is to inform you that as per SEBI rules & regulations & bye laws, I have complied with, and I will continue to comply with the FEMA regulations and other applicable laws.

Thanking you,

Yours truly,

**X**

**DECLARATION FOR CHANGE OF FOREIGN ADDRESS (APPLICABLE ONLY FOR NRI)**

From: \_\_\_\_\_

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

To,  
**HPMG SHARES & SECURITIES PRIVATE LIMITED**  
**Registered/Corporate Office:** Office No. 201/202, 2<sup>nd</sup> Flr;  
Raj Kamal Next to Shreeji Arcade S V Rd;  
Kandivali West Mumbai- 400067

Dear Sir/Madam,

This is to inform you that as per sebi rules & regulations & bye laws, hereby i am giving an undertaking that whenever my foreign address will change, i will inform you for the same.

Thanking you,

Yours truly,

**X**

**HPMG SHARES & SECURITIES PRIVATE LIMITED**  
**Registered/Corporate Office:** Office No. 201/202, 2<sup>nd</sup> Flr;  
Raj Kamal Next to Shreeji Arcade S V Rd;  
Kandivali West Mumbai- 400067

**Re: Beneficial Owner (BO) Account No 12069200\_\_\_\_\_**

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

**Email Address:** \_\_\_\_\_

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

Thanking You,  
Yours faithfully,

**X**

**X**

**X**

Signatures

\_\_\_\_\_  
Sole / First Holder

\_\_\_\_\_  
Second holder

\_\_\_\_\_  
Third Holder

**CONSENT LETTER TO UPDATE MOBILE NUMBER AND E-MAIL ID IN DEMAT AND TRADING ACCOUNTS**

**HPMG SHARES & SECURITIES PVT. LTD.**

Registered/Corporate Office: Office No. 201/202, 2<sup>nd</sup>Flr, Raj Kamal Next to Shreeji Arcade  
 S V Rd; Kandivali West Mumbai- 400067 Tel. No.: 022-62317600 • Fax No.: 022-62317689  
 Email ID for redressal of Investor Grievances: [compliance@hpmgshares.com](mailto:compliance@hpmgshares.com) & [cdsl@hpmgshares.com](mailto:cdsl@hpmgshares.com)•  
 Visit us at: [www.hpmgshares.com](http://www.hpmgshares.com) Email Id: [info@hpmgshares.com](mailto:info@hpmgshares.com)

DP ID: 12069200 • SEBI REGN. NO.: IN-DP-163-2015 • CIN: U67190MH2007PTC176790

**Consent letter to update mobile number and e-mail id in demat and trading accounts.**

I/we would like to inform you that I have opened demat and trading account with you. The mobile number and email id as specified in the KRA & CKYC shall be used for the purpose of receiving details of various Transactions.

**MOBILE NO.**\_\_\_\_\_

Mobile No. is registered in the name of     ☐ S e l f    ☐ Other

Incase registered in the name of others, please specified the following:

**Name of person:**\_\_\_\_\_

Relationship with the client: ☐ Spouse    ☐ Dependent Child    ☐ Dependent Parents

**EMAILID:**\_\_\_\_\_

**Email Id is registered in the name of**                 ☐ S e l f                 ☐ Other

Incase registered in the name of others, please specified the following:

**Name of person:** \_\_\_\_\_

Relationship with the client: ☐ Spouse    ☐ Dependent Child    ☐ Dependent Parents

So, I request you to update above mentioned Mobile No. & Email Id in my / our Demat & Trading accounts to send my / our transaction details.

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

(Signatures should be preferably in black ink).

CONSENT LETTER TO SHARE AND UPDATE AADHAR NUMBER DETAILS IN DEMAT AND TRADING ACCOUNTS

To,

HPMG SHARES & SECURITIES PRIVATE LIMITED

Registered/Corporate Office: Office No. 201/202, 2<sup>nd</sup>Flr, Raj Kamal Next to Shreeji Arcade  
 S V Rd; Kandivali WestMumbai-400067    Tel.No.:022-62317600•FaxNo.:022-62317689  
 Email ID for redressal of Investor Grievances: [compliance@hpmgshares.com](mailto:compliance@hpmgshares.com) &[cdsl@hpmgshares.com](mailto:cdsl@hpmgshares.com)  
 • Visit us at: [www.hpmgshares.com](http://www.hpmgshares.com) Email Id:[info@hpmgshares.com](mailto:info@hpmgshares.com)

DP ID: 12069200 • SEBI REG. NO.: IN-DP-163-2015 • CIN: U67190MH2007PTC176790

Date:

Dear Sir/Madam,

Request forAadhaarupadation:                      ☐        YES                      ☐        NO

✕	✕	✕	✕	✕	✕	✕	✕				
---	---	---	---	---	---	---	---	--	--	--	--

I/we wish to link my/our Aadhaar number and I/we have no objection in authenticating the same with Aadhaar based authentication system via OTP/Biometric/demographic information. In case of authentication failure with UIDAI records, I/we understand that my/our Aadhaar no. will not be updated in the **HPMG SHARES & SECURITIES PRIVATE LIMITED**records.

Consent to share Aadhaar details:    ☐        YES                      ☐NO

I/we hereby give my/our consent to **HPMG SHARES & SECURITIES PRIVATE LIMITED** to update and share my Aadhaar number and related details obtained from UIDAI through authentication using OTP/Biometric/Demographic information on my behalf with any third party entities like Exchanges, Depositories, KRA, CERSAI,AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associates or group company etc.; where there is a requirement of uploading/updating/modifying the Aadhar no. in case of any investment or purchase of any product/services from such entities made through **HPMG SHARES & SECURITIES PRIVATE LIMITED** or in case there is a regulatory requirement for the same or in any other case what so ever.

Also, I/we hereby give my/our consent to **HPMG SHARES & SECURITIES PRIVATE LIMITED** to share my Aadhaar number and related details obtained from KRA, CERSAI as part of fetching process etc. or any other institution that may be formed in future, or any of its associates or group company etc.; with any third party entities like Exchanges, Depositories, KRA, CERSAI, AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associates or group company etc.; where there is a requirement of uploading/updating/modifying the Aadhar no. in case of any investment or purchase of any product/services from such entities made through **HPMG SHARES & SECURITIES PRIVATE LIMITED** or in case there is a regulatory requirement for the same or in any other case what soever.

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

**CONSENT LETTER FOR BASIC SERVICES DEMAT ACCOUNT FACILITY**

To,

**HPMG SHARES & SECURITIES PRIVATE LIMITED**

Registered/Corporate Office: Office No. 201/202, 2nd Flr, Raj Kamal Next to Shreeji Arcade S V Rd;  
 Kandivali West Mumbai- 400067 Tel. No.: 022-62317600 • Fax No.: 022-62317689  
 Email ID for redressal of Investor Grievances: [compliance@hpmgshares.com](mailto:compliance@hpmgshares.com) & [cdsl@hpmgshares.com](mailto:cdsl@hpmgshares.com)  
 • Visit us at: [www.hpmgshares.com](http://www.hpmgshares.com) Email Id:[info@hpmgshares.com](mailto:info@hpmgshares.com)

Date:

Dear Sir/Madam,

- ☐
 I /We do not want to avail the BSDA (BASIC SERVICES DEMAT ACCOUNT) facility in respect of my/our below mentioned demat account with you.
- ☐
 I /We wish to avail the BSDA (BASIC SERVICES DEMAT ACCOUNT) facility for my/our below mentioned demat account number.

DP ID	1	2	0	6	9	2	0	0	CLIENT ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

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

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

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

OPTION FORM FOR ISSUE OF DIS BOOKLET

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

DP ID	1	2	0	6	9	2	0	0	Client ID								

HPMG SHARES & SECURITIES PRIVATE LIMITED

Registered/Corporate Office: Office No. 201/202, 2<sup>nd</sup>Flr,  
Raj Kamal Next to Shreeji Arcade S V Rd;  
Kandivali West Mumbai- 400067

Dear Sir / Madam,  
I / We hereby state that:

[Select one of the options given below]

☐ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed agreement in favor of **HPMG SHARES & SECURITIES PRIVATE LIMITED** for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member.  
Yours faithfully

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

☐ **OPTION2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed agreement in favor of **HPMG SHARES & SECURITIES PRIVATE LIMITED** for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.  
Yours faithfully

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

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

ACKNOWLEDGEMENT RECEIPT

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

DP ID	1	2	0	6	9	2	0	0	Client ID								
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

For HPMG SHARES & SECURITIES PVT LTD.

(Authorised Signatory)

To,  
**HPMG SHARES & SECURITIES PRIVATE LIMITED**  
Registered/Corporate Office: Office No. 201/202, 2<sup>nd</sup> Flr,  
Raj Kamal Next to Shreeji Arcade S V Rd;  
Kandivali West Mumbai- 400067

Date:

Dear Sir/Madam,

1. WHEREAS the Hindu Undivided Family of \_\_\_\_\_ (Hereinafter referred to as the said joint family ) carrying on business in the firm name and style of \_\_\_\_\_ at \_\_\_\_\_

Or elsewhere (hereinafter referred to as the said HUF) have or desired to the Demat Account/ Trading Account with **HPMG SHARES & SECURITIES PRIVATE LIMITED** (hereinafter referred to Member) we the undersigned hereby declares. a. That we are the present adult co-partners of the said joint family.

- A. That, Shri \_\_\_\_\_ is the present karta or manager of the said joint family.
- B. That we are entitled to open Demat Account/Trading Account of the said joint family.
- C. That each one of us has full and unrestricted authority to act on behalf and bind the said HUF and all the present as well as future member both adults and minors of the said joint family howsoever constituted from time to time.
2. We confirm that the affairs of the said joint family and the business of the said HUF and carried on mainly by Karta/ Manager the said Shri \_\_\_\_\_ on behalf and in the interest and for the co-partner of said joint family. Shri \_\_\_\_\_ may sale/purchase/transfer/endorse/negotiate documents Or otherwise deal through **HPMG SHARES & SECURITIES PRIVATE LIMITED** on behalf of HUF. He is also authorised to sign/ requisite documents writing and deed as may be deemed necessary to open account and give effect to this purpose. We are however jointly and severally responsible for all the liabilities of the said joint family including the interest thereon of every co-partner of said joint family including the share of minor copartner if any.
3. We undertake to advice the member in writing of any change that may occur in managership or in the constitution of the said joint family or the said HUF and until receipt of notice by such member, the member will be entitled to regard each of as a member of said joint family and as a partner of said HUF and all acts, dealings and transactions purporting to have been done on behalf of the said joint family or the said HUF before the member shall have received the notice in the manner for said shall be binding on the said joint family and the said HUF and our respective estates. We shall however continue to be liable jointly and severally to the member for all dues and obligations of the said HUF in the member's book on the date of the receipt of such notice by one member and until all such dues and obligation shall have been liquidated and discharged.
4. We recognize the beneficiary account can be opened with depository participant only in the name of karta as per regulations to facilitate the operations of the above Trading Account/ Demat Account with you and for the purpose of completing the share transfer obligations peculiar to the demat operation s, we authorise you to recognized the beneficiary account with depository opened in the name of Shri \_\_\_\_\_ who is karta/manager of HUF.
5. I agree that obligation for share purchase or sale by the HUF will be handled and completed through transfer to/from the above mentioned account. I recognized and accept transfer mode by you to the beneficiary as completion of obligations by you in respect of transactions executed in the above Demat Account/ trading Account of the HUF.
6. The names and the date of birth of present minor and major member of the said joint family are given below. We undertake to inform you in writing that and when each of the said members attain the age of majority and is authorized to act on behalf of and bind the said "HUF".





**\* TARIFF CARD \***

S. No.	Particulars	Regular Tariff	BSDA Tariff
1	Account Opening Charges	NIL	NIL
2	Stamp Charges	Rs.510/-	Rs.510/-
3	Account Maintenance Charges/Year(Individual)  *Life Time AMC Only for Individual Accounts (NOT APPLICABLE FOR BSDA Tariff)	Rs.340/-  Rs.1500/-*	Up to 50000/-NIL & 50001/- to 2 lacs Rs. 100/- and Above 2 lacs Rs.340/-
4	Account Maintenance Charges/Year (Non Individual) Life Time AMC Not Applicable for Non Individual Accounts	Rs. 1050/-	Up to 50000/-NIL & 50001/- to 2 lacs Rs. 100/- and Above 2 lacs Rs.1050/-
5	Sale (Market & Off-Market)	Rs.16-per ISIN	Rs.50-per ISIN
6	Dematirialisation	Rs.3 per certificate with minimum Rs.25/-	Rs.3 per certificate with minimum Rs.50/-
7	Postage for Dematirialisation & Rematirialisation	Rs. 50 (minimum) & Rs.500/- (Maximum)	Rs. 50 (minimum) & Rs.500/- (Maximum)
8	Rematirialisation	Rs. 10/- PER REQUEST	Rs. 25/- PER REQUEST
9	Creation / Confirmation, Closure & Invocation of Pledge	Rs. 0.02% (minimum Rs.25/- per ISIN)	Rs. 0.02% (minimum Rs.50/- per ISIN)
10	Other than POA Pay in/Pay out the off market Inter depository & on market charges	Rs. 50/-per ISIN	Rs. 100/-per ISIN
11	Late transaction Charges (Per Transaction)	Rs. 10/-	Rs. 25/-
12	Failed Instructions Charges	Rs. 25/-	Rs. 50/-

**Notes:**

1. GST and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
2. We reserve the rights to change\add charges with 30 days prior notice.
3. All payments should be in favor of **"HPMG SHARES & SECURITIES PVT. LTD.**

\* CONSENT FOR LIFETIME AMC FACILITY ONLY FOR INDIVIDUAL DEMAT ACCOUNT

\* I / WE WISH TO AVAIL LIFETIME AMC FACILITY FOR MY/OUR DEMAT ACCOUNT ☐ YES ☐ NO

I/We hereby accept the charges as mentioned above.

Client Name: 1. \_\_\_\_\_  
2. \_\_\_\_\_  
3. \_\_\_\_\_

Signatures **X** \_\_\_\_\_ **X** \_\_\_\_\_ **X** \_\_\_\_\_  
Sole / First Holder Second holder Third Holder

**FOR HPMG SHARES & SECURITIES PVT. LTD.**

**FATCA/CRS SELF DECLARATION FORM (FOR INDIVIDUALS)**  
**(For DP & Trading)**

(Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance) To,

**HPMG SHARES & SECURITIES PRIVATE LIMITED**

Registered/Corporate Office: Office No. 201/202, 2<sup>nd</sup> Flr, Raj Kamal Next to Shreeji Arcade S V Rd; Kandivali West Mumbai - 400067

Part I- Please fill in the country for each of the following:

Country of Birth	
Country of Citizenship	
Country of Residence for Tax purposes #	
US Person (Yes/ No)	

**Part II**

If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below

TIN	
Country of Birth	
TIN	
Country of Birth	
TIN	
Country of Birth	

(In case of multiple TINs, all the TINs to be mentioned)

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

- In case any of the parameters in Part I indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in Part IV.
- In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate (Please also fill Part IV Self-Certification)

Reason: \_\_\_\_\_

**Part III- Customer Declaration**

(i) Under penalty of perjury, I/we certify that:

1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)

(ii) I/We understand that the **HPMG SHARES & SECURITIES PRIVATE LIMITED** is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The **HPMG SHARES & SECURITIES PRIVATE LIMITED** is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the **HPMG SHARES & SECURITIES PRIVATE LIMITED** may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature	X
Name	
Date	
PAN Number	

Part IV- Self-Certification:  
To be filled only if-  
(a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or  
(b) US person is mentioned as Yes in Part I, and TIN is not available  
I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India

Signature	X
Name	
Date	
PAN Number	

(Passport, Election Id Card, PAN Card, Driving License, UIDAI Letter, NREGA Job Card, Govt. Issued ID Card)  
For Office use only

Client Id		First Holder/Second Holder/Third Holder
Trading Code		

**FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION****Self Declaration Form for Entities / Non-Individuals [Demat & Trading]**

(Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance)

## Part - A

PAN										
Name							Client Id:			
Address Type (for KYC address)	<input type="checkbox"/> Residential		<input type="checkbox"/> Residential/Business							
	<input type="checkbox"/> Business		<input type="checkbox"/> Registered Office							
Place of Incorporation					Country of Incorporation					
Is the entity involved in / providing of the following services:			Foreign Exchange / Money Changer Services Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] Money Laundering / Pawning							
Any other information (if applicable)										

Is your [Entity] Country of Tax Residency other than India – ☐ Yes ☐ No

If “Yes”, please specify the details of all countries where you [Entity] hold tax residency and its Tax Identification Number & type hereunder:

Sr. No.	Country of Tax Residency	Tax Payer Identification Number/ Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type [TIN or other, please specify]
1			
2			

In case the Entity's Country of Incorporation / Tax Residence is US but Entity is not a Specified US person, mention Entity's exemption code here \_\_\_\_\_ (Refer Instructions P)

Entity Constitution Type (Pvt. Co./Public Co./LLP/ Partnership/HUF/AOP/BOI/ Proprietorship/Trust/Others)			
Entity Identification Type (tick as applicable)	<input type="checkbox"/> Company Identification Number <input type="checkbox"/> TIN/ Tax deduction Account Number <input type="checkbox"/> Global Entity Identification Number (GEIN) <input type="checkbox"/> Trust Registration Number <input type="checkbox"/> US GIIN <input type="checkbox"/> Other		
Entity Identification No.			
Entity Identification issuing country			
Country of Residence for tax purpose			

Entity Classification:																																							
Part I – Financial Institution																																							
A.	<p>Whether Reporting Financial Institution (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, Please tick any one of the following categories as applicable to you and provide your Global Intermediary Identification Number (GIIN):</p> <p style="margin-left: 40px;">Depository Instt. Custodial Instt. Investment Entity Specified Insurance Company GIIN:</p> <table border="1" style="width: 100%; height: 20px; margin-left: 40px;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																																						
B.	<p>Whether Non Reporting Financial Institution (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, Mention category as applicable to you (Refer Annexure B):</p>																																						
C.	<p>Whether Sponsored Investment Entity which is not qualified intermediary to obtain GIIN but Sponsored by another entity that has registered as a Sponsoring Entity (Please tick as applicable): <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, Please provide the following details of Sponsoring Entity :</p> <p>Name of Sponsoring Entity : _____</p> <p>GIIN of Sponsoring Entity : _____</p>																																						
D.	<p>Whether Trustee Documented Trust and has not yet obtained GIIN (Please tick as applicable):</p> <p>Yes No If Yes, Please provide the following details of Trustee:</p> <p>Name of Trustee : _____</p> <p>GIIN of Trustee : _____</p>																																						
E.	<p>Whether Owner documented Financial Institution (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, Provide the details of each controlling person in the table given below</p>																																						
F.	<p>Whether Non Participating Financial Institution (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No</p>																																						
Part II . Non Financial Entity (NFE)																																							
A.	<p>Whether Active NFE (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, Provide the applicable Category (Refer Annexure C): _____</p> <p>In case, falling under category 2, Please provide the following details:</p> <p>a. If you are a listed Entity : Name of the Stock Exchange _____</p> <p>b. If you are related of any listed Entity, Provide the following Details:</p> <p>Name of Related Entity: _____ Name of Stock Exchange _____</p>																																						
B.	<p>Whether Passive NFE (Please tick as applicable) : <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If Yes, Provide the applicable Category (Refer Annexure D): _____. Also Provide the details of each controlling person in the table given below</p>																																						
C.	<p>Whether Direct Reporting NFE (Please tick as applicable) : Yes No If Yes, Please provide GIIN:</p> <table border="1" style="width: 100%; height: 20px;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																																						

Controlling Person Declaration:

Name of Controlling Person	Correspondence Address	Country of residence for tax purpose	TIN (if any)	TIN issuing country	Controlling person type

Details	For Controlling person 1	For Controlling person 2	For Controlling person 3	For Controlling person 4	For Controlling person 5
Document submitted for Identification: Passport/ Election Card/PAN card/ Govt. ID Card / Others					
Identification Number					

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 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 Exchanges/Depositories/Mutual Fund, its sponsor, Asset Mgmt. Co., 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 Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I /We understand that you do not offer any tax advice on CRS/FATCA or its impact on me/us. I/We shall seek advice from Professional Tax Advisor for any tax questions.

Signature with relevant seal:

<b>X</b>	<b>X</b>	<b>X</b>
----------	----------	----------

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

## RUNNING ACCOUNT AUTHORIZATION

To,  
**HPMG SHARES & SECURITIES PRIVATE LIMITED**  
**Registered/Corporate Office:** Office No. 201/202, 2<sup>nd</sup> Flr,  
 Raj Kamal Next to Shreeji Arcade S V Rd;  
 Kandivali West Mumbai- 400067

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

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities/ funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
4. I/We may retain an amount of up to Rs. 10,000/- (net amount across all segment and all stock exchanges) for the regular client (active clients), those who have traded at least once during the last month or quarter as the case may be.
5. I/We request you to settle my/our fund and securities account ☐ **Monthly** ☐ **Quarterly**
6. I/We confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
7. I/We confirm you that I can revoke the above-mentioned authority at anytime.

Thanking you,

Yours faithfully,

Signature of Client: **X** \_\_\_\_\_

Name of the Client: \_\_\_\_\_

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



**ELECTRONIC CONTRACT NOTES**

VOLUNTARY

**MANDATE TO ISSUE CONTRACT NOTES IN DIGITAL FORMAT**

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

1. Digital Control Notes in the format as may be prescribed by the Exchange from time to time will be mailed to the E-mail address provided to us.
2. I/We undertake to check the contract notes and bring the discrepancies to your notice within 1 year of such issuance of contract notes. My/our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent by client or to E-mail [compliance@hpmgshares.com](mailto:compliance@hpmgshares.com).
5. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/email id(s).
6. The contract notes will be issued in digital form in compliance with guidelines issued by SEBI/ Exchanges from time to time.
7. It will be my/our responsibility to regularly check the mailbox and keeping the storage space for new email messages.

This instruction to issue digital contract note is applicable with immediate effect. This instruction is several to all parties mentioned above.

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

If there is any change in my/our email ID or in the name or in the residential/corresponding address, the same shall be intimated to you in writing through physical letter within reasonable period of time. In respect of internet clients, the request for change of email ID may be made through the secured access by way of client specific user id and password.

I/We have noted the following:

The authorization shall be signed by me/us only and not by any authorized person on my behalf or any holder of the Power of Attorney.

Yours faithfully,

Signature of Client: **X** \_\_\_\_\_

VOLUNTARY

**CLIENT DEFAULTER DECLARATION**

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

I \_\_\_\_\_ having PAN \_\_\_\_\_

do hereby declare that I have not been involved in any terrorist activity and I have not been declared defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc.

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

Yours Faithfully

Signature of Client: **X** \_\_\_\_\_

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

## LETTER OF AUTHORITY

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

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

The Managing Director

**HPMG SHARES & SECURITIES PRIVATE LIMITED**

**Registered/Corporate Office:** Office No. 201/202, 2<sup>nd</sup> Flr; Raj Kamal Next to Shreeji Arcade S V Rd; Kandivali West Mumbai- 400067

Dear Sir,

Sub: Letter of Authority - CASH/F&O/ Currency Derivative Segment of NSE/BSE/MSEI

I / We are dealing in securities with you at NSE/BSE/MSEI in Cash/ Derivative & Currency Segment and in order to facilitate ease of operations, I/ we authorize you as under:

1. I / we hereby authorize you to set-off outstanding in any of our accounts against credits available or arising in any other accounts maintained with you, irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the exchange or in any other exchanges and/ or against the value of cash margin provided to you by us.
2. I / we hereby authorize you to keep all the securities which we give you in margin including the payout of securities received by me/us for meeting margin/ other obligation in stock exchange in whatever manner.
3. I / we hereby request you to retain credit balance in any of my/ our account and to use the idle funds towards our margin/ future obligations at any of the Exchanges unless I/ we instruct you otherwise.
4. I / We am/are responsible for all orders, including orders that may be executed without the required margin, and I /we shall, whether or not the Stock Broker intimated such shortfall in margin to me/us, instantaneously make-up the shortfall either through delivery of shares in the event of sale or credit the required fund in the bank account via personal cheque or money order or account transfer or any other mode.
5. I / we am/are agreeable for & authorize you to with hold funds pay-out towards all the applicable margins and debits.
6. I / we also request you to consider these securities towards various margins debited to my/our account from time to time.
7. I / we also authorize you to debit the necessary demat charges charged from time to time, for keeping the shares in your client demat beneficiary account on my/ our behalf.
8. I / we request you to retain securities in your demat account for my/our margin/ future obligations at all Exchanges, unless I/we instruct you to transfer the same to my/ our account.
9. I / we understand and agree that it is my/our responsibility to track and advice you to transfer the securities held in my/ our trading account to my/ our demat account for the purpose of availing the benefits of corporate actions.
10. I / we authorize you to transfer the credit balances from one exchange/ segment to another exchange/ segment as and when debit arises, I/ we authorize you to transfer the credit balances/ security balances lying in my/ our Stock Broking Account to my/our demat account and vice versa and when debit arises and/ or for margin requirements as and when required.
11. I / we am/ are agreeable for inter-settlement transfer of securities towards settlements.
12. I / we have a Trading as well as depository relationship with HPMG SHARES & SECURITIES PRIVATE LIMITED, Please debit the charges relevant with depository services from my/our trading account. I/ we also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reasons.
13. I /we also authorize you to debit the financial charges @1.5% p.m. for the debit balances if any, in my/ our account and not settled as per the exchange requirements.
14. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.
15. I / we agree that HPMG SHARES & SECURITIES PRIVATE LIMITED is not responsible for follow-up and applying for the benefits for corporate actions on my behalf for securities held in my/ our trading account and will not be held responsible by me/ us for any financial implications arising there to.
16. I/ we request you to kindly accept & execute all my/ our orders placed over phone as it is not possible for me/ us to visit your office and sign the order form every time I/ we place the orders with you. I/ we are/ are fully aware that you place the orders in my/our unique client code which are recorded & verifiable by me/us through the website of the exchange. I/ we confirm that I/we accept & settle the trades accordingly without any dispute whatsoever.
17. I/ we hereby authorize you not to provide me Order Confirmation/ Modification/ Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/ we shall get the required details from contract notes issued by you.
18. I/ we request you to consider my/ our telephonic instructions for order placing/ order modification/ order cancellation as a written instruction and give me/ us all the confirmation on telephone unless instructed otherwise in writing. I/we am/ are getting required details from contracts issued by you.

19. I/ we request that you may send/dispatch me/us contract notes, other documents through E-mail; on my/our \_\_\_\_\_ designated \_\_\_\_\_ e-mail \_\_\_\_\_ address of \_\_\_\_\_. I/ we will completely rely on the log reports of your dispatching software as a proof of dispatch of e-mail to me/ us.

20. If there is any change in my/our email ID or in the name or in the residential/corresponding address, the same shall be intimated to you in writing through physical letter within reasonable period of time. In respect of internet clients, the request for change of email ID may be made through the secured access by way of client specific user ID and password.

21. Trading of all Exchanges is in Electronic Mode, based on VSAT, Leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or note processing buy or sell orders either in part or in full.

22. I/ we confirm that I/ we will never sublet the trading terminal on any term of connectivity, from my/ our place to any other place without your prior approval.

23. Compliance with prevention of money laundering act 2002, (PMLA) as amended till date and the rules regulations and guidelines framed there under.

24. I/we hereby inform you that I have executed/intend to execute an agreement with you for trading on different exchanges, i.e., NSE, BSE & MSEI in cash and derivative segments. I/We request you to transfer, make adjustments and/or set off a part or whole of the securities placed as margin and/or any surplus funds in any of the accounts maintained with you against the outstanding dues payable if any, by me/us to any of my/our account(s) maintained with you. You will have lien on the credit balance in any of my/our account for meeting the debit or obligations in progress in any other of my/our account. Any entries passed by you in accordance with this authorization will be binding on me/us.

25. I/We opened/ have a Beneficiary account with you and I/we have a trading account with you for investment and trading purpose. It will be very difficult for me/us to issue separate cheques against your depository bills. Hence, I authorize you to debit the trading account for the debit charges payable to you as Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

26. I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which HPMG SHARES & SECURITIES PRIVATE LIMITED., its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

27. I/We confirm that all the information which may be required by the stock broker to enable it to comply with the provisions of the PMLA and the rules, regulations and guidelines framed thereunder has been disclosed including issues related to "beneficial ownership", if any and also undertakes to provide the same on an on-going basis whenever required. I/We agree to keep the stock broker informed of any change in the information provided earlier in this regard immediately in writing.

Yours faithfully,

Signature of the Client: X \_\_\_\_\_

**Declaration To Be Signed By Client In Case Of Content Been Explained In Vernacular Language**

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

To,  
HPMG SHARES & SECURITIES PRIVATE LIMITED  
**Registered/Corporate Office:** Office No. 201/202, 2<sup>nd</sup> Flr, Raj Kamal  
Next to Shreeji Arcade S V Rd; Kandivali West Mumbai- 400067

I hereby declare that content and purpose of this form have been explained to me in vernacular language known to me and I have signed / affixed thumb impression after understanding contents / purpose / consequences thereof.

Yours faithfully,

Signature of the Applicant: X \_\_\_\_\_

## DECLARATION FOR NOT HAVING MOBILE NUMBER AND EMAIL ID

### VOLUNTARY

To,  
**HPMG SHARES & SECURITIES PRIVATE LIMITED**  
Registered /Corporate Office: Office No. 201/202, 2<sup>nd</sup> Flr,  
Raj Kamal Next to Shreeji Arcade S V Rd;  
Kandivali West Mumbai- 400067

Ref: Declaration for not having Mobile No. and / E-mail ID

Dear Sir,

I/We \_\_\_\_\_ having Client Code registered with you in NSE CM/NSE FO/BSE CM/BSE FO/MSEI CD segment hereby declare that, I/we do not have Mobile No and/ E-Mail ID registered in/our name/s.

I/We hereby agree and confirm you that, as I/we do not have Mobile No, and / E-mail ID registered in my / our name/s, I/we do not have any objection if you upload 6666666666 Instead of my /our Mobile No. and **notprovided@notprovided.com** instead of my/our Email ID in all or any exchange in which you are registered or will register in future.

I/We am/are agree with the above mentioned details.

Yours faithfully,

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

(Signatures should be preferably in black Ink).

## TERMS & CONDITIONS FOR "T 7 PLUS" FACILITY

I am a registered client with HPMG Shares & Securities Pvt. Ltd. (HPMG) and dealing in Capital Market / Equity Derivative Market / Currency Derivative Market. My Trading account and Demat Account no. is mentioned below. I hereby request HPMG to grant me further exposure and allow me to continue it beyond T+7 days, on the basis excess of fully paid securities available in my demat account maintained with HPMG as collaterals over the Debit balance in my ledger account with HPMG (hereinafter referred to as "T 7 Plus" / "The Facility") I hereby request HPMG to grant me this facility of exposure beyond T+7 days, based on the excess of fully paid securities (collaterals) available in my demat account maintained with HPMG after adjusting the debit balance in my trading account with HPMG. I agree to accept and abide by all the terms, conditions, norms, instructions, advisory, process etc prescribed by HPMG in this regard and undertake to comply and assist HPMG in strict implementation thereof. The collaterals shall include the shares from the approved NRML scrip basket of HPMG. The constituents of NRML approved basket may be revised by HPMG as per their discretion. I agree, accept, and acknowledge the following terms and conditions prescribed by HPMG for the aforesaid availing the aforesaid facility (T 7 Plus):-

- That it shall be sole and absolute discretion of HPMG to allow me or refuse the aforesaid facility without specifying or assigning any reason for the same. That pursuant to my use of this facility, Delayed Payment Charges (DPC) shall be charged at 18% per annum (excluding other taxes) on the debit balance in my account. The other terms & conditions for DPC will apply mutatis mutandis.
- That DPC will be debited in my ledger account compounded on a monthly basis and shall be payable by me.
- That DPC will be levied for all the debits from payin/payout date, including for margin obligation met in form of securities.
- That the exposure allowed under this facility can be continued only till a maximum of 90 days. However, HPMG may in its discretion allow to continue the exposure beyond the period of 90 days if it deems fit. Fresh exposure may be allowed by HPMG subject to compliance of all terms and conditions as applicable.
- That the valuation of fully paid securities available in my demat account will be determined by HPMG after applying VAR / hair cut margin or any other margin as prescribed by HPMG from time to time in this regard.
- HPMG may at any time during the continuance of this facility call upon for furnishing of additional securities in my demat account to support the debit balance or make payments in the trading account to support/reduce the debit balance as the case may be and I shall be liable to comply with such instructions of HPMG immediately.
- That the aforesaid facility is granted at HPMG's own discretion and HPMG may withdraw such facility at any time without assigning any reasons thereof and I shall not request/ compel/force HPMG to continue the same. Any profit or loss arising due to the closure of this facility or refusal of HPMG to grant or continue to grant this facility shall be wholly to my account and I shall not hold HPMG responsible for the same.
- HPMG shall have lien on the Securities lying in my demat account mentioned herein below and shall liquidate any of my holdings lying in my demat account in case market value of the collaterals falls, or to recover the continued debit balance in my account or under any other circumstances which HPMG may deem fit.
- I understand the risk and the cost associated with such facility and shall indemnify and keep indemnified HPMG from and against all claims, demands, actions, proceedings, loss, damages, liabilities, penalties, fines, levies, imposts, charges and/or expenses that are occasioned or may be occasioned to HPMG directly or indirectly as a result of aforesaid facility.
- I understand that HPMG may liquidate/close out /sell shares at such rate which HPMG may deem fit in its absolute discretion, a part of or the whole position or substitute securities and/or collaterals due to sudden fall in market price of the shares in which position is taken or in diminution in the value of collaterals, with or without prior intimation and adjust the proceeds of such liquidation/close out, if any, against my liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by me. I accept and understand that I shall be solely responsible for any kind of losses incurred due to such square off /liquidation.

The above terms and conditions are in addition to the KYC terms and conditions, member client agreement and stipulations prescribed therein signed/accepted by me for account opening or which are prescribed by HPMG from time to time.

Trading Account No.(Client Code): \_\_\_\_\_ Demat Account No. 12069200 \_\_\_\_\_

Client Name: \_\_\_\_\_ Client Signature: **X** \_\_\_\_\_



#### NOTICE ON IMPORTANT ISSUES

We draw your attention to certain important issues relevant to your trading activity through us, you must read, understand and agree to abide by the advice given hereunder in respect to the dealing between us. Kindly sign at the end of this document to signify your understanding and acceptance of the matters notified to you herein.

1. Please note that the Stock Brokers are not permitted to run any schemes giving "Fixed Returns" to the clients, and accordingly HPMG SHARES & SECURITIES PVT.LTD, does not operate any scheme giving "Fixed Returns", and you are therefore advised & cautioned to not to be deceived by any person, offering or requesting you join any such scheme.
2. Please note that the company does not accept cash for any dealings with our clients, whatsoever and accordingly once again caution, advice & warn you to refrain from making any payment to the company or any person in representative capacity, in cash. We inform you that any payment made by you should only be made through secure banking channels i.e. valid & crossed negotiable instrument, complaint with the Rules & Regulations or online, through RTGS/NEFT etc. name of HPMG SHARES & SECURITIES PVT.LTD only. Further, credit for payments received is given to the client's account, only where the payment has been made from the account of the client mapped with us, which HPMG SHARES & SECURITIES PVT.LTD shall not bear any risk & responsibility, whatsoever.
3. We do hereby inform and notify you that unless otherwise specifically agreed by us in writing, our service do not go beyond the scope as mentioned in the documents executed between us, accordingly the role envisaged to be played by HPMG SHARES & SECURITIES PVT.LTD is restricted to facilitating, only and only as a Stock Broker, the execution of transactions intended to be executed by you on your own risk and responsibility and as considered suitable by you, taking into consideration, your risk bearing capacity.
4. Further, you are also informed that none of the employee or agent of HPMG SHARES & SECURITIES PVT.LTD is authorized to offer any investment advice, and therefore you are advised to refrain from seeking or place reliance on the advice from any such person. If despite this notice, you choose to seek and rely on any advice, offered by any person, whether related or unrelated to HPMG SHARES & SECURITIES PVT.LTD in any manner, you shall be doing so at your own risk and responsibility, and the dealings between you and the person offering the advice shall be absolutely personal between you, and such person, for which HPMG SHARES & SECURITIES PVT.LTD will not assume any liability.
5. We also reiterate here that the Stock Market is highly volatile and unpredictable market and it is impossible for anyone to predict the future developments in the marketplace, therefore anyone assuring you any returns should not be relied upon by you. Further you are also advised to not to allow or authorize any person to trade on your behalf, in expectation of any assured profit, and must understand that where you authorize or allow any person on your behalf, you would be entering into a "Principle-Agent" relationship with such person and therefore be entirely responsible for his actions, whether resulting into "Loss" or "Profit".
6. HPMG SHARES & SECURITIES PVT.LTD also conducts research on various activities of the Stock Market and whenever considered appropriate, shares the knowledge and opinion derived from such research with its clients and others desirous of receiving such information, however as our client, you must understand that such information is only a general opinion of HPMG SHARES & SECURITIES PVT.LTD, which is not designed for, or takes into consideration, the factors specific to your risk bearing capacity and perception. You are therefore advised to rely only on your own judgment while taking any investment and/or trading decisions. The research reports provided by us are only an expression of the opinion of the concerned researchers; it is neither any advice intending to encourage you to undertake any activity nor any offer to sell or a solicitation to buy any securities. As our client you must also read our opinion published on any website or publications, keeping in mind the contents of this notice to you. Further in order to benefit from the research carried out on its behalf, HPMG SHARES & SECURITIES PVT.LTD, its directors or its employees may, at their sole discretion may acquire position in the scrips which are the subject matter of such research.

#### Declaration by the client

I/We have read and understood the contents of the above notice, and state that I/We have no objection to anything mentioned therein and do also hereby agree to abide by the advice offered in this notice.

I/We having complied with the requisite formalities, as prescribed, for being a client, have opened a trading account with HPMG SHARES & SECURITIES PVT.LTD/I/We declare and affirm as under:

1. I have attained the age of 18 and do not suffer from any conditions which make me eligible for entering into a valid and binding contract.
2. I/We am/are regular investor in the stock market in India.
3. I/We am/are conversant with the law, practices, rules, regulations, guidelines, circulars, etc. including but not limited to those prescribed by the Securities and Exchange Board of India (SEBI), Reserve Bank of India (RBI) and Exchanges. I/We also undertake to keep myself/ourselves updated and informed, and understand the implications of any changes that are made of such , practices, rules, regulations, guidelines, circulars, etc.
4. I/We give an undertaking that I/we shall not deal with HPMG SHARES & SECURITIES PVT.LTD. In any prohibited manner.
5. I/We understand that I/we have been advised not to take any investment advice from any of the employees or associates of HPMG SHARES & SECURITIES PVT.LTD. and in case I/we do so, despite the advice against the same, I/ we shall be acting at my/our exclusive risk and responsibility.
6. I/We agree to accept any measures; which in the opinion of HPMG SHARES & SECURITIES PVT.LTD., are required to enhance security procedures, in relation to my/our account & trading.

7. HPMG SHARES & SECURITIES PVT.LTD. may, though it is not bound to, create voice-log by recording the conversation made, while placing any order by me, and such voice-logs wherever available, shall be the conclusive proof of the dealings made by me/us.
8. I/We hereby further declare that I/we will not give any third party shares for settlement of my/our obligations to the Exchange.
9. I/We hereby further declare that I/we will not receive or give any money in cash or in kind during the course of my dealings with HPMG SHARES & SECURITIES PVT.LTD.
10. I/We hereby further declare that I/we am/are not party to any illegal practices that may be prevalent in the stock market.
11. I/We hereby further declare that I/we will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular trading, in the Capital Market and Futures and Options segment.
12. I/We hereby further declare that I/we will not place any order in the Exchange which will reflect as an arrangement for profit/loss transactions. All the orders placed on the exchange will be in the normal market where there is a corresponding underlying securities position in the cash or futures segment of the respective exchange.
13. I/We am/are aware and I/we agree to pay HPMG SHARES & SECURITIES PVT.LTD. The brokerage, commission, fees, processing fees, and other charges which are prescribed by the regulators as they exist from time to time and as apply to the client account and transactions and the services that the client receives from the HPMG SHARES & SECURITIES PVT.LTD.
14. I/We hereby further declare that I/we am/are aware of the provisions of the Prevention of Money Laundering Act, 2002 (PMLA) as far as they concern me/us as an investor/client and I/we declare that I/we have never been convicted/barred from dealing in securities market in the past under the said Act.
15. I/we confirm that I/we are in compliance with the "Know Your Client" (KYC) guidelines including conducting due diligence required for Anti Money Laundering (AML) checks as prescribed by the FIU/SEBI. I/We further confirm that all KYC and due diligence has been followed on a continuous basis as long as our account continues to be held with trading member. Further, I/we agree to submit/provide all statutory documents/other compliance details pertaining to my/out trading account whenever required, to fulfill my/our obligation under PMLA.
16. I/we hereby further declare that I/we will not indulge directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons/entities. In the event of any of the above fraudulent or unfair trade practices are noticed by the exchange or regulatory authorities, then I/we shall be solely responsible for such acts as noticed and you shall not be responsible for my/our illegal and fraudulent and unfair trade practice in the capital market segment and Futures and Options segment of the exchange.
17. I/We HPMG SHARES & SECURITIES PVT.LTD. Shall not be responsible for any losses, costs or damages resulting directly or indirectly from the below mentioned circumstances:
  - i. Any action, omission, suspension or trading, decision or ruling or any exchange or regulatory, governmental or other body or any other person which is beyond the trading member's control (including floor broker, exchange, dealing or clearing house).
18. Any war, strike, lock-out, national disaster, act of terrorism, any delay in postal service or any other delay or inaccuracy in the transmission of other information, or telecommunication or computer system.
19. I/we further understand that the above Force Majeure events do not exempt me/us to fulfill the obligations in my/our account.
  - ii. I/We have read and understood the set of documents provided to me/us, and understand that this set of documents, from the date of its execution, supersedes the previous documentation, if any executed between me/us and HPMG SHARES & SECURITIES PVT.LTD., for the purpose of opening my/our trading account with them.  
I/We hereby give this declaration to you without any coercion with sound mind and voluntarily to you, which shall be part my/our client registration form and Account opening form on the dates mentioned therein.

Signature of the Client: x \_\_\_\_\_

Name of the Client: \_\_\_\_\_

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



**ADDITIONAL CLAUSES BETWEEN STOCK BROKER AND CLIENT' EXECUTED FOR  
NSE/BSE/MSEI**

To,  
**HPMG SHARES & SECURITIES PRIVATE LIMITED**  
Registered /Corporate Office: Office No. 201/202, 2<sup>nd</sup> Flr,  
Raj Kamal Next to Shreeji Arcade S V Rd;  
Kandivali West Mumbai- 400067

Dear Sir,

Re: Additional Clauses between Stock Broker and Client' for NSE/BSE/MSEI

1. I/ we hereby declare that I/we am/are not acting as sub-broker or remisier and doing business only on my/our personal behalf.
2. A) I/we hereby agree that all the financial transactions between me/us and you shall be through account payee cheque/demand draft/ pay order and no cash transactions are permitted on either side. I/ we hereby further agree that any claim of cash transaction by either party shall not be entertained by the other party.  
  
B) I/ we hereby agree not to issue third party cheques/ demand drafts/ pay order for my/ our transactions with you.
3. I/ we hereby agree to give/ take delivery of securities in demat mode from/to my/our beneficiary account only. I/ we hereby agree not to issue third party delivery instructions for my/our sale transactions. Further I/ we hereby agree not to deposit blank or unfilled delivery instructions with any of your office.
4. I/ we hereby agree that the duly executed contract note issued by you shall only be valid and binding for all legal purposes.
5. I/ we hereby accord my/our consent to you to do transactions in my/our account based on oral instructions over phone or otherwise. I/ we also undertake to raise objections, if any, in writing, with you within one day of receipt of contract note.
6. I/ we hereby agree not to enter into any securities transactions/ financial transactions/ private deals with co-investors and employees/ franchisees/ associates of you and I/we am/are confined only to getting my/our orders executed on the trading terminals of the stock exchanges and settling those transactions as per the settlement schedules of the exchange.
7. I/ we hereby agree to indemnify you full for any losses arising out of the delivery transactions in the securities held by me/ us or jointly with any other person/s.
8. I/ we hereby accord my/our consent to you to debit my/our account to the extent of amount due by me to your depository division.
9. I/ we agree to provide, my/our updated financial details on a yearly basis.

I/ we agree to provide additional information, details, documents, etc. pertaining to me/us as required by NSE/ BSE/MSEI, SEBI or any other statutory bodies from time to time.

Yours faithfully,

Signature of the Client: X \_\_\_\_\_

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

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

**CLIENT INFORMATION**

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

**MARGINS**

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

**TRANSACTIONS AND SETTLEMENTS**

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

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

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

#### ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

#### ELECTRONIC CONTRACT NOTES (ECN)

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

#### LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.



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

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY 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 whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.  
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.

Yours faithfully,

Signature of the Client: X \_\_\_\_\_

**RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

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

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

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

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

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

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

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

1. **BASIC RISKS:**

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

#### 1.5 Risk of News Announcements:

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

#### 1.6 Risk of Rumors:

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

#### 1.7 System Risk:

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

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

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

#### 1.8 System/Network Congestion:

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

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

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

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

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

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

#### 2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.



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

#### 2.3 Risk of Option holders:

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

#### 2.4 Risks of Option Writers:

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

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

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

### 4. GENERAL

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

Yours faithfully,

Signature of the Client: X \_\_\_\_\_

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

## IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

## DISPUTES/ COMPLAINTS

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

Yours faithfully,

52 Signature of the Client: X

## A. Refusal of orders for penny stocks:

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

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

## B. Setting up client's exposure limit:

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

## C. Applicable brokerage rate:

- The applicable brokerage rate is mentioned in the Client registration form and any further change in the brokerage is communicated to the client in writing.
- The maximum brokerage chargeable will not exceed as prescribed by SEBI and exchanges.

## D. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period:

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

## E. Right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's Dues:

- HPMG SHARES & SECURITIES PVT.LTD. has the right to close out/liquidate or square off any open position of the client (limited to the extent of settlement / margin obligation) with a Prior notice shall be given to the client before liquidating or squaring off any open position, all or any of the client's positions as well as securities / collaterals placed as margin for non-payments of margin or other amounts due from such clients in respect of settlement or any other lawful dues that are recoverable from the client by HPMG SHARES & SECURITIES PVT.LTD. The proceeds of the same shall be adjusted against the client's trade liabilities / obligations. Any loss or financial charges on account of such close-out/liquidation shall be debited to the client's account.

## F. Shortage in obligation arising out of internal netting of trades:

To determine the net obligation of a broker/ trading cum clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards the broker, the broker internally might have shortages to fulfill its obligation towards the other clients. In such a situation, HPMG SHARES & SECURITIES PVT.LTD. the close out price will be 20% above the closing price on the Auction Day in case of Trade to Trade Scripts and 10% in case of other scripts. In case of the purchaser he/she/it will receive a credit of the amount calculated as per the above formula and seller client account shall be debited by the same amount.



G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client. HPMG SHARES & SECURITIES PVT.LTD. shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:

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

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

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

I. De-registering a Client:

HPMG SHARES & SECURITIES PVT.LTD. may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which HPMG SHARES & SECURITIES PVT.LTD. may deregister a client are given below.

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

J. Treatment of Inactive Accounts:

Client account will be considered as inactive if the client does not trade for a period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account. Any outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

K. Client Acceptance of Policies and Procedures stated hereinabove:

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

Yours faithfully,

Signature of the Client: X \_\_\_\_\_

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

### General Clause

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

### Beneficial Owner information

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

### Fees/Charges/Tariff

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

### Dematerialization

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

### Separate Accounts

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

### Transfer of Securities

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

### Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. 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.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

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

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

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

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

21. As per Section 16 of Depositories Act, 1996,

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

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

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

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

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

#### **Authorized representative**

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

#### **Law and Jurisdiction**

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

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

## CONFIRMATION OF RECEIPT OF COPY OF KYC DOCUMENTS FOR TRADING ACCOUNT AND DEMAT ACCOUNT

To,

### HPMG SHARES & SECURITIES PRIVATE LIMITED

Registered / Corporate Office: B-201/202, Raj Kamal,

Next to Shreeji Arcade, S. V. Road, Kandivali West

Mumbai - 400 067.

Tel.: 022-6231 7600 Fax: 6231 7689

Re: Confirmation of receipt of copy of KYC documents for trading account and demat account

With reference to above, I/We have my/our Trading Account No.: \_\_\_\_\_ and/or Demat A/c. No. 12069200 \_\_\_\_\_ allotted to me/us wish to state and confirm as under:

1. For registration as your client/upon registration, I/We have received a photocopy of the duly completed documents viz. Client Registration Kit (KYC) including do's and don'ts. Rights and obligation (Trading & Demat), Risk Closure document, Guidance note, do's & don'ts, policies and procedures, POA and also a copy of any other document executed by me/us as your client.
2. Further, the trading code/client ID and the unique client code allotted to me/us as your client and the Email ID furnished by me/us has been communicated by you to me/us through KYC form or otherwise in writing.

As a token of acceptance and proof of aforesaid, I/We have put my signature herein below:

	First/Sole Holder/Authorised Signatory or Guardian (in case of Minor)	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Name			
Designation			
Signature	<b>X</b>	<b>X</b>	<b>X</b>

**Acknowledgement Receipt**

**RECEIVED NOMINATION FROM :**

<b>DP ID</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>9</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>Client ID</b>								
Name																	
Address																	
Nomination in favor of <b>First - Nominee</b>																	
<b>Second - Nominee</b>																	
<b>Third - Nominee</b>																	
No Nomination	<input type="checkbox"/> Does not wish to nominate																
Registration No.									Registered on								

**Depository Participant Seal and Signature  
For HPMG SHARES & SECURITIES PVT LTD**

**Authorized Signatory**

**PERFORATION HERE**

**Acknowledgement Receipt**

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

<b>DP ID</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>9</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>Client ID</b>								
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

**Depository Participant Seal and Signature  
For HPMG SHARES & SECURITIES PVT LTD**

**Authorized Signatory**

**PERFORATION HERE  
Acknowledgement Receipt**

**Application No.:**

**Date:**

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

<b>DP ID</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>9</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>Client ID</b>								
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

**For HPMG SHARES & SECURITIES PVT LTD**

**Authorized Signatory**