

REF No.



Registration KIT

NSE • BSE • MSEI | CDSL
www.adwealthgroup.com

CIN : U74140WB1994PTC062485



Most Important things to keep in mind

- The entire form should be filled in CAPITAL LETTERS and BLACK INK only
- Please ensure that you provide your mobile number and email id. This helps us in sending you all the important communications including your trade details, margin details, etc.
- Your Name and Address should EXACTLY match with the documents provided
- Please provide SELF ATTESTED, CLEAR copies of all the required documents
- Kindly provide all the information and strike out all blank spaces which are not applicable
- DO NOT use whitener, strike off in case of any correction and countersign
- Please produce original documents for verification at the time of submission
- You must paste recent passport size color photographs at the designated places and sign across it (Please note that the photograph should be printed on Photo Paper)
- This is a common form for individuals and non-individuals and also for opening Demat and Trading account. Kindly fill in the parts which are applicable to you
- In case of Non-individual, all the signatures should be accompanied by the stamp/seal of the organisation
- Please read all the Rights and Obligations and other documents carefully before signing
- Please go through Risk Disclosure Document, Do's and Don'ts very carefully. They are for your own benefit



ADWEALTH STOCK BROKING PVT. LTD.

CIN : U74140WB1994PTC062485

Form No.

Account Opening KIT - Trading and Demat

Registered Office	8, Camac Street, Shantiniketan 1st Floor, Room No. 12, Kolkata - 700017, Phone: (033) 40302999 • Fax: (033) 22101213
Corporate / Correspondence Office	7 Mangoe Lane, 1st Floor, Room No. 103, Kolkata-700001, Phone : (033) 4030 2999 Fax : (033) 2210 1213

Members	National Stock Exchange of India Ltd. (NSE) Bombay Stock Exchange Ltd. (BSE) Metropolitan Stock Exchange of India Ltd. (MSEI)
Depository Participant	Central Depository Services India Ltd. (CDSL)

Compliance Officers	Trading	Mr. SANJEEV PANDEY Tel. : (033) 40302999 E-mail ID : sanjeev@adwealthgroup.com
	DP	Mr. SANJEEV PANDEY Tel. : (033) 40302999 E-mail ID : sanjeev@adwealthgroup.com

Exchange-Segment	SEBI Registration No.	Date
NSE-CM	INZ 000005538	03/24/2015
NSE- F&O	INZ 000005538	03/24/2015
BSE-CM	INZ 000005538	03/24/2015
BSE-F&O	INZ 000005538	03/24/2015
MSEI-CM	INZ 000005538	03/24/2015
MSEI-F&O	INZ 000005538	03/24/2015
MSEI-CD	INZ 000005538	03/24/2015
Depository	SEBI Registration No.	Date
CDSL	IN-DP-CDSL-720-2014	07/03/2014

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

Clearing Member Details

For MSEI (CD)	For NSE (F&O), MSEI (F&O), BSE (F&O)
SMC Global Securities Ltd. Regn. No. INE 260771431	Globe Capital Market Ltd Regn. No. INF-010663731
	INF 260663738
	INF-230663732

For any grievance/dispute please contact Adwealth Stock Broking Pvt. Ltd. at the above address or mail at: ig@adwealthgroup.com (for Trading) and dpservices@adwealthgroup.com (for DP) or call us at our or at +91-33-40302999

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

Exchange / Depository Contacts	National Stock Exchange of India Limited , Phone : 022-26598190 • Email : ignse@nse.co.in
	Bombay Stock Exchange Limited , Phone : 022-22728097 • Email : is@bseindia.com
	Metropolitan Stock Exchange of India Ltd. , Phone : 022-67318933 • Email : investorscomplaints@mcx-sx.com
	Central Depository Services India Limited , Toll Free no. : 1800-200-5533 • Email : complaints@cdslindia.com

FOR OFFICE USE ONLY	Client Name / Sole Holder	
	Second Holder (for DP Account)	
	Third Holder (for DP Account)	
	Client Trading Code / UCC	
	Client DP Code	
	Branch Name & Code	
	Introducer Name & Code	
	Team Leader Name & Code	
	Dealer Name & Code	
	Family Name & Code	
	Sub Group Name & Code	

ACCOUNT OPENING KIT

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

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

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.	
1	Document Checklist	It contains detailed Checklist for Documents required	1-4	
Mandatory Documents as prescribed by SEBI, Exchanges and Depositories				
2	Account Opening Form with KRA Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list for filling KYC form	5-8	
		B. Document captures the additional information about the constituent relevant to trading / demat account.	9-13	
TRADING	3	Rights and obligations	Document stating the Rights and Obligations of Stock Broker, Sub-Broker and Clients for trading on exchanges (including additional rights and obligations in case of internet/wireless technology based trading thereon).	14-17
	4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	18-20
	5	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	21-22
	6	Policies and Procedures	Document describing significant policies and procedures of Adwealth Stock Broking Pvt. Ltd.	23
	7	Tariff Sheet (Trading)	Document detailing the rate / amount of brokerage / charges levied on the client for trading on the stock exchange(s).	24
DP	8	Tariff Sheet (DEMAT)	Document detailing the rate / amount / charges levied on the client for activities in his/their demat account.	25
	9	Rights & Obligations	Rights & Obligations of Beneficial Owner and Depository Participant for DP A/c.	26-27
	10	Power of Attorney Agreement (CDSL)	Agreement between DP and Client empowering ASBPL for delivering his Market Obligations to respective Exchanges	28
	11	E-Statement Agreement	Agreement for accepting DP transaction document through Internet	29
Non Mandatory Documents as provided by the Stock Broker				
TRADING	12	Authority Letter to issue Statement in electronic format	It contains authority given to the member/DP towards providing various statements in electronic format	30
	13	Declaration for Internet Trading	This is the declaration given by the client for availing internet trading	31
	14	Mandate for Authorised Representative	This is the declaration given by the client for authorizing his/her/their representative	31
	15	Declaration pursuant to PMLA	It contains the other additional voluntary information to be provided by the client in relation to Prevention of Money Laundering Act, 2002	32-33
	16	Statement of Authorisations, Undertakings and Declaration	This document deals with the clauses relation to issue of Contract Notes, Daily Margin Statement, Quarterly Statement in electronic format.	33-34
	17	Authority Letter for Running Account	It contains the authorisation by the client to the member to maintain running account of funds.	35
	18	Authority Letter for deposit of Securities/Funds towards Margin.	It contains the Undertaking and the declaration to be given by the client for availing trading facility	36
Formats				
19	HUF Declaration	In case of HUF account the declaration formats are provided for TRADING & DEMAT Account	37	
20	Partnership Declaration	In case of partnership account the declaration formats are provided for DEMAT Account	38	
		In case of partnership account the declaration formats are provided for TRADING Account	38	
21	Managing Partner Authority letter	In case of Partnership Firm the format of letter in favour of Managing Partner is provided	39	
22	Board Resolution for LLP	In case of LLP the Board resolution formats are provided for DEMAT Account	39	
23	Board Resolution for Corporate	In case of Corporate the Board resolution formats are provided for DEMAT Account	40	
		In case of Corporate the Board resolution formats are provided for TRADING Account	40	
24	Mobile & E-mail ID Declaration	It contains declaration of mobile no. and e-mail ID.	41	
25	Acknowledgment of Receipt of documents	It contains acknowledgment of receipt of documents	41	
26	Annexure 2.4	It contains Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	42-44	
27	Instructions / Notes	It contains the instructions & guidelines to fill up the KYC.	45	

Documents admissible

1. Photograph
Recent passport size color photograph is required. Photograph should be printed on photo paper.
2. Proof of Address (Any one of the following)
 - a. Aadhar Letter issued by UIDAI.
 - b. Passport/Driving License (should be valid on the date of account opening)
 - c. Ration Card/Voter ID
 - d. Bank Passbook/Statement (should not be more than 3 months old on date of account opening)
 - e. Bank Verification Letter
 - f. Utility Bill: Landline (Mobile Bill not Accepted)/Electricity/Gas (should not be more than 3 months old on date of account opening)
 - g. Registered Lease or Sale Agreement of residence (should be valid on the date of account opening)

NOTE: In case one does not have an address proof in his name, he can provide a declaration from the person with whom he is staying. In this case Identity proof of the declaring person MUST also be submitted
3. Bank Proof (Any one of the following)
NOTE: (First/Sole applicant should be the first holder in the bank account as well)
 - a. Copy of cheque/Cancelled Cheque (if cheque bears pre-printed name of the client) OR ELSE
 - b. Bank Statement/Pass Book (if it is not on the stationery of the bank then it should be authenticated by the bank with seal)
 - c. Letter from Bank
4. Demat Proof (Any one of the following)
 - a. Client Master
 - b. DP Statement
 - c. Transaction cum Holding Statement
 - d. Welcome letter
5. Income Proof (Any one of the following) (Mandatory for Opening Trading Account for Derivative Segment)
 - a. Copy of latest ITR Acknowledgment
 - b. Latest Salary Slip or Copy of Form 16 as of last assessment year
 - c. Net worth certificate (issued as on last financial year)
 - d. Below mentioned documents with self declaration
 - Copy of latest Demat Account Holding Statement
 - Copy of Bank Statement for last SIX months
 - Any other relevant documents substantiating ownership of assets

NOTE:

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

INDIVIDUALS

- | | |
|---|---|
| <ol style="list-style-type: none"> 1. Photograph 2. PAN 3. Proof of Permanent Address 4. Correspondence Address 5. Bank Proof with MICR Code 6. Demat Proof (required if opening only a trading account) 7. Income Proof (for trading in derivatives segments) 8. Cheque for DP AMC (as per the scheme opted) | <ol style="list-style-type: none"> c. In case of Merchant Navy NRIs, Mariner's declaration or certified copy of CDC (Continuous Discharge certificate) 6. Bank Proof with MICR Code 7. Demat Proof (required if opening only a trading account) 8. Income Proof (for trading in derivatives segments) 9. Cheque for DP AMC (as per the scheme opted) |
|---|---|

HUF

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

NRI

- | | |
|---|---|
| <ol style="list-style-type: none"> 1. Photograph 3. Proof of Foreign Address 5. Additional Documents <ol style="list-style-type: none"> a. Passport with visa copy/PIO Card/OCI Card b. PINS Declaration Copy | <ol style="list-style-type: none"> 2. PAN 4. Proof of Local Address |
|---|---|

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

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

CORPORATE

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

LIMITED LIABILITY PARTNERSHIP (LLP)

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

TRUST

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

PARTNERSHIP FIRM

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

FOREIGN INSTITUTIONAL INVESTORS (FIIS)

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

A. IMPORTANT POINTS:

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

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

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

C. PROOF OF ADDRESS (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Aadhar Letter issued by UIDAI/Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of

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

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

D. EXEMPTIONS/CLARIFICATIONS TO PAN

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

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

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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

F. Additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures. <p>Note: If there is any individual or non-individual shareholders holding more than 25% stake, then kindly provide the share holding pattern of the same and Non Individual-Anx should be submitted.</p>
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of co-parceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman / Secretary.



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

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

A. IDENTITY DETAILS

1	Name of the Applicant												
2	Name of Father/Spouse												
3	a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c. Date of Birth	D	D	M	M	Y	Y	Y	Y
4	a. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other <small>Pls specify (if other)</small>	b. Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Foreign National	<input type="checkbox"/> Non Resident								
5	a. PAN, copy attached	<input type="checkbox"/>	b. UID/Aadhaar										
6	Specify Identity proof submitted			Id Proof for PAN exempt Cases (DP A/c only)									

Affix recent passport size Photograph and Sign across it

1

B. ADDRESS DETAILS

1	Correspondence Address	City/Town/Village		PIN Code	
		State		Country	
2	Specify proof of correspondence address submitted				
3	Contact Details	Telephone (office)	Telephone (Res)		
		Fax No.	Mobile No.		
		Email ID			
4	Permanent Address <i>(if different from above. Mandatory for Non-Resident Applicant to specify overseas address)</i>	City/Town/Village		PIN Code	
		State		Country	
5	Specify the Proof of Permanent address submitted				

C. 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 I may be held liable for it and the same will render my account liable for termination and suitable action.

2

Place	Signature of 1st / Sole Applicant	Date	D	D	M	M	Y	Y	Y	Y
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Form should be filled in English and in Block Letters (Use Black ink only)

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

FOR OFFICE USE ONLY

	Documents verified with Originals by	Client interviewed by	In-Person Verification done by																					
Staff Name																								
Code & Designation																								
Signature																								
Date	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y
<i>I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.</i>		<input type="checkbox"/> (Original verified) Self Certified Documents copies received <input type="checkbox"/> (Self Attested) True copies of documents received Sign/Seal/Stamp of the intermediary																						



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

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

Affix recent passport size Photograph of 1st Applicant and Sign across it

A. IDENTITY DETAILS

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

~~3~~

B. ADDRESS DETAILS

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

C. DECLARATION

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

~~4~~

Place	Signature of Authorised Person						Date	D	D	M	M	Y	Y	Y	Y
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Form should be filled in English and in Block Letters (Use Black ink only)

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

FOR OFFICE USE ONLY	Documents verified with Originals by	Client interviewed by	In-Person Verification done by																					
	Staff Name																							
	Code & Designation																							
	Signature																							
	Date	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y
I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.		<input type="checkbox"/> (Original verified) Self Certified Documents copies received <input type="checkbox"/> (Self Attested) True copies of documents received Sign/Seal/Stamp of the intermediary																						

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

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

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

 First Signatory	 Second Signatory	 Third Signatory						
Place	Name and signature with Stamp of the Authorised Signatory(ies)	Date						
		<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width:20px;">D</td> <td style="width:20px;">D</td> <td style="width:20px;">M</td> <td style="width:20px;">M</td> <td style="width:20px;">Y</td> <td style="width:20px;">Y</td> </tr> </table>	D	D	M	M	Y	Y
D	D	M	M	Y	Y			

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



KYC APPLICATION FORM for DEMAT and TRADING ACCOUNT

DETAILS REQUIRED FOR DEMAT ACCOUNT

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

a. Name	b. PAN
---------	--------

Type of DEMAT Account

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

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

RBI Approval Reference No.	RBI Approval Date								
SEBI Regn. No. (for FIIs only)	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 15px;">D</td><td style="width: 15px;">D</td><td style="width: 15px;">M</td><td style="width: 15px;">M</td><td style="width: 15px;">Y</td><td style="width: 15px;">Y</td><td style="width: 15px;">Y</td><td style="width: 15px;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

Standing Instructions

1	I/We authorise you to receive credits automatically into my/our Demat account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Account to be operated through Power of Attorney	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3	SMS Alert Facility (Mandatory if you are giving Power of Attorney (PoA). (Ensure that the mobile number is provided in the KYC Application Form also.) Refer to Terms & Condition given in Annexure 2.4		
	Sole / First Holder	Second Holder	Third Holder
	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
	0	0	0
4	Account Statement Requirement <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly <input type="checkbox"/> As per SEBI Regulations		
5	I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6	Do you wish to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7	Pledge Processing Flag <input type="checkbox"/> Yes <input type="checkbox"/> No	8	Basic Services Demat A/c <input type="checkbox"/> Yes <input type="checkbox"/> No
9	Email Download by RTAS <input type="checkbox"/> Yes <input type="checkbox"/> No		
10	Rajiv Gandhi Equity Saving Scheme <input type="checkbox"/> Yes <input type="checkbox"/> No	11	Annual Reports From RTAS <input type="checkbox"/> Physically <input type="checkbox"/> Electronic <input type="checkbox"/> Both

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

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

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



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

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

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

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

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



PAST ACTIONS

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

TRADING PREFERENCE

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

	NSE	BSE	MSEI
1. Cash Market	6a <input type="checkbox"/>	6b <input type="checkbox"/>	6c <input type="checkbox"/>
2. Futures & Options	6d <input type="checkbox"/>	6e <input type="checkbox"/>	6f <input type="checkbox"/>
3. Currency Derivatives			6g <input type="checkbox"/>

DP DETAILS

Sr.#	Particulars		
1	DP	<input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL
2	DP Name		
3	DP ID	<input type="text"/>	<input type="text"/>
4	Beneficiary Name		
5	BO/Client ID	<input type="text"/>	<input type="text"/>

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub Broker's Name			
SEBI Registration Number			
Registered Office Address			
Phone		Fax	
Website		E-mail	

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

Stock Broker's Name			
Sub-broker's Name, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub-broker			

ADDITIONAL DETAILS

Whether you wish to receive physical contract notes/Documents or electronic contract notes (ECN)/Documents, please select (In case of currency ECN is mandatory)	<input type="checkbox"/> Physical	<input type="checkbox"/> Electronic
If Electronic, please specify your E-mail ID	<input type="text"/>	
Whether you wish to avail of the facility of Internet Trading / wireless technology, please tick	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Number of years of Investment / Trading Experience	<input type="text"/>	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company / firm / others : Fill in Annexure A		

INTRODUCER DETAILS (Mandatory in case of Sub-broker Or Authorised Person)

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

FOR TRADING ACCOUNT

FOR BOTH DEMAT AND TRADING ACCOUNT

NOMINATION DETAILS

Segment	CDSL Account No.	Trading Code	Registration No. & Date
Equity	12079800-_____	_____	_____

I / We, the Sole holder / Joint Holder / Guardian (in case of minor) hereby declare that :

I/We wish to make a nomination (As per details given below) I/We do not wish to make a nomination (Strike off the nomination details below)

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me/us in the said beneficiary owner account shall vest in the event of my/our death. This nomination shall supersede any prior nomination made by me / us and also any testimony document executed by me / us.

<p align="center">Affix recent passport size Photograph of the Nominee and Nominee should Sign across it</p> 	 Signature of the Nominee	<p align="center">Affix recent passport size Photograph of the Guardian of the Nominee in case the nominee is a minor and the Guardian should sign across it</p>
	Signature of the Guardian in case the nominee is minor	

1	Name of the Nominee (Mr./Ms.)															
2	Relationship with Applicant, if any	Date of Birth	D	D	M	M	Y	Y	Y	Y						
3	Address of Nominee	City/Town/Village								PIN Code						
		State								Country						
		Telephone (Office)						Telephone (Res.)								
4	Contact Details of Nominee	Fax No.						Mobile No.								
		Email ID.						PAN								
		5 Specify Identity proof submitted														

As the Nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of Sole holder/all Joint holders, I / We appoint following person to act as Guardian

In case the Nominee is MINOR

5	Name of the Guardian															
6	Relationship with Nominee															
7	Address of Guardian	City/Town/Village								PIN Code						
		State								Country						
		Telephone (Office)						Telephone (Res.)								
8	Contact Details of Guardian	Fax No.						Mobile No.								
		Email ID.						PAN								

Sole Holder/1st Signatory		Second Holder/Signatory		Third Holder/Signatory	
Name		Name		Name	
Signature with date		Signature with date		Signature with date	

Signature of two witnesses for nomination

Name of the Witness	Address of the Witness	Signature of witness with date
a.		
b.		

FOR BOTH DEMAT AND TRADING ACCOUNT

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief as on date of making such application and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We are aware that I/We may be held liable for it
2. The Rules and Regulations of the Depository and Depository Participant pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such account. I/We further agree that any false/misleading information given by me/us or suppression of any material fact will render my/our account liable for termination and further action
3. "I/We have read the terms & conditions DP-BO agreement and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time."

Only for non-residents: I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

4. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet
5. I/We further confirm having received, read and understood the contents of the "Rights and Obligations" and "Risk Disclosure Documents." I/We 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.
6. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Name(s) of Applicant(s)	Signature(s) of Holder(s) / Signatory(ies) (Plz use Black Ink)								
Sole Applicant / First Signatory / Guardian (in case sole holder is a Minor)	8								
Second Applicant / Signatory									
Third Applicant / Signatory									
Place	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 60%;"></div> <div style="width: 35%; text-align: center;"> Date <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">Y</td> </tr> </table> </div> </div>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

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

CLIENT INFORMATION

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

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are

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

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

TRANSACTIONS AND SETTLEMENTS

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

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock

broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the NSE/BSE/MCX-SX and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the NSE/BSE/MCX-SX and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Bye-laws and Regulations of NSE/BSE/MCX-SX 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 NSE/BSE/MCX-SX where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one

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

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

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgment of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI / NSE/BSE/MCX-SX from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/NSE/BSE/MCX-SX. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/NSE/BSE/MCX-SX.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/NSE/BSE/MCX-SX 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 NSE/BSE/MCX-SX in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of NSE/BSE/MCX-SX, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the NSE/BSE/MCX-SX, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the NSE/BSE/MCX-SX/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of NSE/BSE/MCX-SX/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by NSE/BSE/MCX-SX/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the NSE/BSE/MCX-SX where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

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

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

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

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

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

NSE/BSE/MCX-SX does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of NSE/BSE/MCX-SX and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing

the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of “Leverage” or “Gearing”:

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

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

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

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in

your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

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

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a

significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

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

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

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

4. GENERAL

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

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the NSE/BSE/MCX-SX www.exchange.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/NSE/BSE/MCX-SX.
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 NSE/BSE/MCX-SX' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the NSE/BSE/MCX-SX.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts / deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made

to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the NSE/BSE/MCX-SX without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the NSE/BSE/MCX-SX.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the NSE/BSE/MCX-SX.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; NSE/BSE/MCX-SX gives a public notice inviting claims relating to only the “transactions executed on the trading system” of Stock exchange, from the investors. Ensure that you lodge a claim with the NSE/BSE/MCX-SX within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker’s insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the NSE/BSE/MCX-SX where the trade was executed and the scheme of the Investors’ Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the NSE/BSE/MCX-SX.
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.

- A) **REFUSAL OF ORDERS FOR PENNY STOCK:** We do not restrict client for trading in the penny stock, if the same is permissible by the exchange. In this regard we ensure that the brokerage charged on the transaction involving penny stock shall not exceed the prescribed maximum limit as per exchange norms. We also ensure that same shall not be construed as an arrangement in any form so as to inflate, depress or cause fluctuation in the price/ volume of the penny stock so as to hurts the true sentiments of the market.
- B) **SETTING UP OF CLIENTS EXPOSURE LIMIT:** ASBPL will normally give exposure at a predetermined multiple for the net credit balance lying in the client's ledger (across all segment) or on the unencumbered securities. Exposure on securities is given after appropriate haircut as per exchange. The amount of exposure may vary from client to client based on financial soundness (such as low, medium or high net worth) and turnover position of the client.
- C) **APPLICABLE BROKERAGE RATE:** The rate of brokerage varies from clients to clients. For those clients having frequency in transaction, generally the brokerage is on the lower panel rather than for those who trade infrequently. The applicable brokerage is fixed with the mutual consent of the client.
- D) **IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES:** We charge penalty/delayed payment charges on our client at the maximum rate of 24% p.a. with an intention to prohibit the practice of having debit outstanding balance. The same can be reversed on specific request, past performance and assurance on client's part to be prompt in future payments. Penalty by exchange would be transferred to the relevant client, if the fact for the imposition of such can be establish with prior verbal intimation to the client.
- E) **THE RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENTS POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON PAYMENT OF CLIENT'S DUES:** A reasonable opportunity and a verbal show cause notice is always given to the client before squaring off positions. It so happens when a client fails to make the payment of the margin money or pay in amount. However, the only exception to the above rule is for those clients having long term bonding or/and assurance to be firm in their future payments, the same may be viewed leniently.
- F) **SHORTAGE IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES:** If there are shortages due to internal netting of client's position, the same would be squared off with the highest of the given prices :- (provided that the same shall not exceed the highest price prevailing in the Exchange from the first day of the relevant trading period till the day of closing out or 20% above the official closing price on the auction day whichever is higher)
- 1) Percentage on closing rate of auction date.
 - a) upto 100.99/- (scrip rate) x 7.5%
 - b) >101 < 500.99/- (Scrip rate) x 5%
 - c) 501/- (Scrip rate) and above x 2.5%
 - 2) Buying/selling average rate.
 - 3) Market Auction rate.
- G) **CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION:** The same holds good when (1) ledger reflects continuous debit balance (2) inadequacy of margin (3) any other outstanding dues (4) Further position in the given scrip is prohibited by the Exchange.
- H) **CLOSURE OF CLIENTS ACCOUNT:** On receipt of specific written request from the client and settlement of all outstanding dues, a clients trading account can be closed. In case of retrieval of the same a written request along with all necessary updated documents are required.
- I) **DE-REGISTRATION OF THE CLIENT :** Only in case of those clients who are consequently debarred from trading by SEBI/STOCK EXCHANGES or in case of breach of any terms and conditions of the agreement entered into with the client. All clients who has not executed a single trade for last six months shall be treated as Dormant and the same shall be made active only upon submission of specific request for the same.
- J) **PRO-TRADING :** We hereby declare that apart from client based trading we also do Pro-trading on NSE/BSE/MSEI Stock Exchanges.

 _____

Client's Signature

Date :

A. BROKERAGE
1. Capital Market Segment

 Square up Brokerage
 (chargeable for each leg of transaction)

Delivery Brokerage

2. Future & Options Segment

Brokerage in Futures

Brokerage in Options (per lot)

3. Currency Derivative Segment

Brokerage in Futures

Brokerage in Options (per lot)

NSE

%

 Min.
Paisa

BSE

%

 Min.
Paisa

B. TRANSACTION CHARGES

Basis of Calculation

Capital Market

% of Turnover

Equity Futures

% of Turnover

Equity Options

% of Turnover

Currency Futures

% of Turnover

Currency Options

% of Turnover

NSE

BSE

MCX-SX

C. OTHER CHARGES

Basis of Calculation

Service Tax & Edn. on Brokerage

% of Brokerage (A)

Service Tax & Edn. on Turnover Charges

% of Transaction Charges (B)

Stamp

% of Square Up Turnover

% of Delivery Turnover

SEBI Turnover Charges

% of Turnover

 Capital
Market

 Future
&
Option

 Curr
Derv
(CDS)

Date : _____



 (Signature of Client)

Charges for Depository Services (Schedule 'A')

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

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

Notes

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

I / We accept the above scheme

SCHEME A

SCHEME B

SCHEME C

 20

Signature of Sole / 1st Holder



Signature of 2nd Holder



Signature of 3rd Holder

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

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

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

Transfer of Securities

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

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.

 22 _____
Signature of Sole / 1st Holder

 _____
Signature of 2nd Holder

 _____
Signature of 3rd Holder

POWER OF ATTORNEY (FOR AUTO PAY-IN)

IN FAVOUR OF ADWEALTH STOCK BROKING PVT. LTD.

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/We _____

S/o, D/o, W/o _____, residing at/having registered office at _____

hold a Beneficiary Account No. _____ with **Central Depository Services (India) Ltd.** through **Adwealth Stock Broking Pvt. Ltd.** bearing DPID IN-DP-CDSL-720-2014.

AND WHEREAS I am / We are engaged in buying and selling of securities through **Adwealth Stock Broking Pvt. Ltd.**, a member of The **National Stock Exchange of India Limited** and **Bombay Stock Exchange**, bearing SEBI Registration Nos. **INZ 230009532** and **INB 011408631** respectively, under Trading Client Code No. _____.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSETH THAT I/WE THE ABOVE-NAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT **Adwealth Stock Broking Pvt. Ltd.**, acting through its Directors and/or Officers duly authorised for the purpose, as my/our true and law ful attorney (hereinafter referred to as "the Attorney") for me/us and on my/our behalf and in my/our name to do, instruct the aforesaid Depository Participant to debit Securities and/or to transfer Securities from the aforesaid account for the purpose of delivering the same to the Clearing House of the respective recognized Stock Exchange towards any segment in respect to Securities sold by me/us through them.

This authority is restricted to the deliveries of securities, with respect to the pay-in/F&O & Currency margin obligations arising out of the transactions of sale effected by me/us through **Adwealth Stock Broking Pvt. Ltd.** to its **NSE Pool A/c No. 10699997 / CMBPID IN519425 with NSDL & 120798000000048 with CDSL, BSE Pool A/c No. 10572303 / CMBPID IN 662801 with NSDL & 1207980000000014 with CDSL, F&O Margin Account No. 1207980000001913, NSE Holdback Account No. 1207980000000341, BSE Holdback Account No. 1207980000000107, BSE Early pay-in Account No. 1100001000023462 & NSE Early pay-in Account No. 1100001100019547 with CDSL respectively.**

I/we hereby authorize the above-named Attorney to send consolidated summary of my/our scriptwise buy and sell position taken with average rates to me/us by the way of SMS/E-mail on a daily basis, notwithstanding any other documents be disseminated as specified by SEBI from time to time.

I/We hereby further authorize the above-named attorney to debit and/or credit the securities wrongly credited and/or debited to/from my/our above mentioned demat account.

I/we ratify the instructions given by the aforesaid Clearing Member Accounts to the Depository Participant named here-in-above in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by the Power of Attorney shall continue until I/we have informed to the Depository Participant in writing to the contrary and is revocable at any time without notice.

IN WITNESS WHEREOF I/We hereunto set and subscribe my/our respective hands to these present on this _____ day of _____ 20 _____.

Signature of Third Holder
Signature of Second Holder
Signature of First Holder

Signed and delivered for and on behalf of the Client,

 _____ **Witness for the Client,**
First Holder

 _____ **Signature** 
Second Holder _____ **Name** _____

 _____ **Address** _____
Third Holder _____
(In case of HUF all coparcener have to sign)

_____ **Space for coparcener's signature**

Signed and delivered for and on behalf of the Depository Participant **Witness for the Depository Participant,**
For **Adwealth Stock Broking Pvt. Ltd.** _____ **Signature** 
_____ **Name** _____
_____ **Address** _____
(Director / Authorised Signatory)



E-STATEMENT AGREEMENT

AGREEMENT BETWEEN THE PARTICIPANT AND THE CLIENT FOR PROVIDING THE TRANSACTION STATEMENT THROUGH INTERNET

This agreement made and entered into this day of between having his/her office/residence address at

(hereinafter called 'the Client') and **Adwealth Stock Broking Pvt. Ltd.**, a body corporate constituted under the Companies Act, 1956 having its registered & corporate office at 2 Lal Bazar Street, 2nd Floor, Room No. 204 & 205, Kolkata-700 001 and registered office at 8, Camac Street, Shantiniketan, 1st Floor, Room No. 12, Kolkata - 700017,, (hereinafter called 'the Participant')

Witnesseth

WHEREAS the Client has permitted the Participant to provide the transaction statement through internet (web-based and/or email). NOW THEREFORE in consideration of the Participant having agreed to provide the transaction statement through internet (web-based and/or email), both the parties to the agreement hereby covenant and agree as follows:

General :

1. BO/Client(s) is/are aware that Transaction statements will not be received in the paper form. It will be received by email or on website.
2. The Client(s) shall immediately inform the DP about change in email address, if any.
3. BO/Client(s) will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
4. BO/Client(s) is/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compounded.
5. If the Client(s) is/are desirous of receiving transaction statement in paper form, DP shall be duty bound to provide the same.

E-mail :

1. The transaction statements shall be digitally signed in accordance with the Information Technology Act, 2000.
2. The transaction statements will be password protected.

Website :

1. DP must implement Secure Socket Layer (SSL) security for their Internet facility featuring site authentication, encrypted communication and appropriate client authentication so as to restrict the access of transaction statements only to the Client. The transaction statements made available on website should be digitally signed in accordance with the Information Technology, 2000.
2. DP will be required to send a consolidated transaction statement in paper form or in accordance form (e-mail) for the entire financial year and the same shall be dispatched before 15th May of every year.
3. The transaction statement will be available on the website for a period of atleast 12 months.

DP and Client(s) will have the right to terminate such service provided a written notice is given atleast 10 days in advance to the other party.

IN WITNESS WHEREOF the Participant and the Client has caused these presents to be executed as of the day and year first above written.

E-mail ID :
(Please write only ONE valid e-mail ID on which communication; if any, is to be sent)

<p><i>Signed and delivered for and on behalf of the Client,</i></p> <p> 25 _____ First Holder</p> <p> _____ Second Holder</p> <p> _____ Third Holder</p>	<p>Witness for the Client,</p> <p>Name _____</p> <p>Address _____</p> <p>Signature _____</p>
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<p><i>Signed and delivered for and on behalf of the Depository Participant</i></p> <p>For Adwealth Stock Broking Pvt. Ltd.</p> <p>_____ (Director / Authorised Signatory)</p>	<p>Witness for the Depository Participant,</p> <p>Name _____</p> <p>Address _____</p> <p>Signature _____</p>
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**MANDATE TO ISSUE CONTRACT NOTES, DAILY MARGIN STATEMENT
AND QUARTERLY STATEMENT IN ELECTRONIC FORMAT
(Required if client opts for ECN & Compulsory for Currency Segment)**

To
M/s. Adwealth Stock Broking Pvt. Ltd.
7 Mangoe Lane, 1st Floor,
Room No. 103, Kolkata-700001

Date : _____

Dear Sir,

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

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

Yours faithfully,

 26 _____
Client's Signature

Client Name _____

Tel. No. _____

Mobile _____

E-mail Id: _____

PAN No. : _____

Terms and conditions :

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

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



To
ADWEALTH STOCK BROKING PVT. LTD.

Sub :- Internet Trading

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

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

Email Address : _____

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

Thanks and best regard

Signature 27 _____

Name _____

Trading Code _____

Mobile No:- _____

MANDATE FOR AUTHORIZED REPRESENTATIVE

NON MANDATORY

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

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

Place :

Date :

(Signature of Mandate Holder) Attested

28 _____
(Signature of client)

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

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

I / We hereby declare the following:

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

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

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

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

 30 _____

AUTHORIZATIONS

NON MANDATORY

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

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

 31 _____

(Client's Signature)

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

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

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

 32 _____

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

DECLARATION**NON MANDATORY**

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

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

 33 _____

(Client's Signature)



To
M/s. Adwealth Stock Broking Pvt. Ltd.
 7 Mangoe Lane, 1st Floor,
 Room No. 103, Kolkata-700001

Date :

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled or to be dealt with in any other manner.
2. I/we understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize ASBPL to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/ Exchange, without taking any further instruction from me/us.
4. I/We also confirm that the securities lying in my/our hold back A/c should be considered as margin deposit /collateral.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as, permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporation towards margin.
7. I/we may revoke the authorization at any time by issuing a physical letter for the effect.
8. I/we also agree that the actual settlement of fund and securities shall be done by me/us, at least once in a

Tick your preference (Default is Quarterly Settlement)

Calendar quarter <input style="width: 40px; height: 20px;" type="checkbox"/>	Calendar month <input style="width: 40px; height: 20px;" type="checkbox"/>
--	--

9. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of ASBPL within 7 working days from the date of receipt of statement.
10. There shall be no inter-client adjustment for the purpose of settlement of the 'running account'.
11. For any outstanding obligations 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 obligations for next 5 trading days, calculated in the manner specified by the exchanges.

Thanking you,

Yours truly,

34 _____
 Signature of the Client

घोषणा

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

★

-----हस्ताक्षर



To
M/s. Adwealth Stock Broking Pvt. Ltd.
 7 Mangoe Lane, 1st Floor,
 Room No. 103, Kolkata-700001

Date :

Dear Sir,

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

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

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

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

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

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

Date	Cheque No.	Amount Rs.	Drawn on	Remarks

Your Sincerely,

 35 _____
 Client's Signature

AUTHORITY-CUM-DECLARATION IN CASE OF HUF AND JOINT FAMILY

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

To
M/s. Adwealth Stock Broking Pvt. Ltd.
 7 Mangoe Lane, 1st Floor,
 Room No. 103, Kolkata-700001

Date: _____

As our HUF wishes to open a Trading and / or Demat account with your company in the name of _____

we hereby state that the first signatory to this letter, i.e. _____ is the Karta of the joint family and other signatories are adult coparceners of the said family.

We hereby authorize the said Karta to open a Trading and / or Beneficiary Demat Account with **Adwealth Stock Broking Pvt. Ltd.** in the name and on behalf of the HUF. He is further authorized to sign, execute and submit such applications, undertakings and other requisite documents, writings and deeds as may be deemed necessary to expedient to open such account and give effect to this purpose. Adwealth Stock Broking Pvt. Ltd. is hereby authorized to honor all instructions oral or written, given on behalf of HUF by the said Karta.

We further confirm that the business of the said Joint family is carried on mainly by the said Karta in the interest and benefit of the entire body of coparceners and members of the joint family. We all undertake that claims due to **Adwealth Stock Broking Pvt. Ltd.** from the said family shall be recoverable personally from all or any of us and also from the entire family properties of which the first signatory is the Karta, including the share of minor coparceners.

In view of the fact that ours is not a firm governed by the Indian Partnership Act, 1932, we have not got our said Family registered under the said Act. We hereby undertake to inform Adwealth Stock Broking Pvt. Ltd. of the death or birth of any coparcener or any change occurring at any time in the membership of our Joint Family during the currency of the account.

List of current members of the said HUF is as under noted,

Sr.#	Name	Designation	PAN	Signature
		1. Karta 2. Coparcener 3. Adult Member 4. Minor Member	Compulsory for Karta Coparceners & Adult Members For Minor member(s) mention their respective Date of Birth	Compulsory for Karta, Coparceners & Adult Members For Minor members mention NA
1				
2				
3				
4				
5				

 Stamped and signed by Karta of the said HUF



**DECLARATION FORM BY PARTNERS FOR
PARTNERSHIP FIRM (For DEMAT A/c)**

FORMATS

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

To,
M/s. Adwealth Stock Broking Pvt. Ltd.
7 Mangoe Lane, 1st Floor,
Room No. 103, Kolkata-700001

1. I / We have submitted an application for opening a joint account for opening a Beneficial Owner [BO] account in the category "INDIVIDUAL" for holding and carrying out transactions in respect of securities belonging to our firm, as per the clarification issued by the Department of Company Affairs vide its Circular No. 5/75 (8/18/75-CL-V) dated March 31, 1975, Partnership Firm is not capable of being a member within the meaning of Section 41 of The Companies Act, 1956.
2. We represent the firm.
3. In consideration of you having agreed to accept the Permanent Account Number [PAN] issued by the Income Tax Department [ITD] to the firm along with our individual identity documents, we acknowledge and undertake as under :-
 - a) the acceptance of the PAN number of our firm does not amount to you having taken notice of trust or recognize our firm
 - b) we shall continue to be responsible for complying with the relevant provisions of The Companies Act, 1956 and the Rules made thereunder and other applicable Laws, failing which we shall be responsible for the consequences thereof

Yours faithfully,

Signature	Signature	Signature
Partner's Name	Partner's Name	Partner's Name

DECLARATION TO BE GIVEN BY PARTNERSHIP (For Trading A/c)
(To be obtained on Pre-Printed Letter Head of the Firm)

FORMATS

To
M/s. Adwealth Stock Broking Pvt. Ltd.
7 Mangoe Lane, 1st Floor,
Room No. 103, Kolkata-700001

Dated :

Dear Sir,

We refer to the trading account opened with you in the name of and declare and authorize you as under:

We recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No. With Depository: having DP ID opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Name of the Partners

Signature

	✓	
	✓	
	✓	

Instructions : Should be signed by all partners of the firm.



AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)
(To be obtained on Pre-Printed Letter Head of the Firm)

FORMATS

We the partners of M/s , a partnership firm, having its office at (office address)
City State hereby authorize
Mr./Ms. And
Mr./Ms. to open a securities trading account in Capital Market segment, F&O segment,
Currency Derivative Segment and Debt Market segment on behalf of the firm M/s with
the Trading Member M/s **Adwealth Stock Broking Pvt. Ltd.** for sale and purchase of shares/debentures/derivative instruments in Capital
Market segment(CM) and or Futures and Options segment(F&O) and/or Retail Debt Market segments (DM) or any other segment that
may be introduced by NSE/BSE/MCX-SX in future. He/She/They is/are authorized on behalf of the firm to deal in equities, derivatives,
debentures, debt products and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of
the firm by him/her/them.

Mr./Ms..... and Mr./Ms..... is/are authorized to sell, purchase,
transfer, endorse, negotiate documents and /or/ otherwise deal through **Adwealth Stock Broking Pvt. Ltd.** on behalf of the firm M/s.
..... . He/She/They is/are also authorized to sign, execute and submit such applications,
undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open
account and give effect to this purpose.

However any partner/authorized signatory(ies) can issue cheques from bank account(s) in favor of **Adwealth Stock Broking Pvt. Ltd.** for
credit to share trading account of the of the firm with M/s **Adwealth Stock Broking Pvt. Ltd.**, even though his/their signatures may not be
available on the records of **Adwealth Stock Broking Pvt. Ltd.**. These cheques may either be from the account of partnership firm or from
individual account, the said amount so given shall be solely/exclusively for the account of the firm maintained with Adwealth Stock Broking Pvt. Ltd.

<i>Name of the Partners</i>		<i>Signature</i>
_____	✓	_____
_____	✓	_____
_____	✓	_____

Note : Please affix rubber stamp of the firm for each signature

RESOLUTION IN CASE OF LLP (for Demat A/c)
(To be obtained on Pre-printed Letter Head of the LLP)

FORMATS

We the partners of M/s (Name of LLP) a partnership firm, having its
office hereby authorize one of the partner Mr.OR
Mr..... to open a Demat account with **Adwealth Stock Broking Pvt. Ltd.** Depository
Participant of Central Depository Services (I) Ltd., on behalf of the firm Ms/
(Name of LLP) and to complete all account opening formalities, issue receipt/delivery instructions, Demat/Remat
requests, cancellation of the aforesaid and all other acts as may be necessary for operations of the account and a
copy of the said resolution to be delivered to “M/s **Adwealth Stock Broking Pvt. Ltd.** for their reference and record.”

RESOLVED FURTHER THAT Mr..... Or Mr..... partners
are authorized to transfer, endorse, negotiate documents and/or otherwise deal with **Adwealth Stock Broking Pvt. Ltd.**
on behalf of the firm M/s(name of LLP). They are also authorized to sign,
execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds
as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatories can issue cheques from bank account in favor of Adwealth Stock
Broking Pvt. Ltd. for credit to Share trading account of the firm with M/s Adwealth Stock Broking Pvt. Ltd., even
though their signatures may not be available on the records of Adwealth Stock Broking Pvt. Ltd. These cheques may
either be form the account of partnership firm or from individual account the said amount so given shall be solely /
exclusively for the account of the firm maintained with Adwealth Stock Broking Pvt. Ltd.

For (Name of LLP)

Partners/authorized signatory

Name of Authorized signatory

Signature with seal

1.

2.



BOARD RESOLUTION IN CASE OF CORPORATE (For Demat A/c) **FORMATS**

To be typed on company's letter head and signed by majority of directors of the company.

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF BOARD OF DIRECTORS OF _____ (Company Name)
_____ HAVING ITS REGISTERED OFFICE AT _____ (Company Address)
_____ HELD ON _____ (Meeting Date)

“Resolved that a **(CDSL)** depository account of the company be opened in the name and style of _____
(name of the account) with M/s. **Adwealth Stock Broking Pvt. Ltd. [DPID : (CDSL) 12079800]** and Mr./Mrs.
_____ and Mr./Mrs. _____ **Director(s) / Authorized Signatory(ies)** are hereby singly/jointly authorized to complete all account opening formalities, issue receipt/delivery instructions, Demat/Remat requests, inter-settlement transfers, account closures/shifting/freeze/defreeze requests, pledge/hypothecation instructions, cancellation of the aforesaid and all other action as may be necessary for operations of the account and a copy of the said resolution to be delivered to “M/s. **Adwealth Stock Broking Pvt. Ltd.**” for their reference and record.”

For,
{Company Name}
Chairman/Company Secretary

Directors	Signatures

Note : Please carefully use the **BOLD** matter

BOARD RESOLUTION IN CASE OF CORPORATE (For Trading A/c) **FORMATS**

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

Extracts of the Minutes of the Meeting of the Board of Directors of «COMPANY/TRUST NAME» at its Registered Office at _____ on _____

“RESOLVED THAT the company/trust may invest / trade in Securities / Derivatives Market and be registered as CLIENT with Adwealth Stock Broking Pvt. Ltd., a Member of NSE, BSE and MCX-SX, for the purpose of dealing/trading in equities, equity derivatives, currency derivatives, debentures, debt products in NSE/BSE/MCX-SX and the said member be and is hereby authorized to honor all instructions oral or written, given on behalf of the Company by any one of the under-noted authorized signatories:-

1. «Name of the authorised signatory» - «Designation»
2. «Name of the authorised signatory» - «Designation»

who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with Adwealth Stock Broking Pvt. Ltd. on behalf of the Company/Trust.

RESOLVED FURTHER THAT «Authorised Signatory(ies), Designation» of the Company/Trust be and are hereby «MODE OF OPERATION i.e., singly/severally/jointly» authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT «Authorised Signatory» is hereby authorized to submit the above resolution to Adwealth Stock Broking Pvt. Ltd.
For
Chairman/Company Secretary

Specimen Signatures of the above noted Authorised Signatory(ies)

Name	Signature

Please Note: Attach list of Directors / Trustees' as on date



Mobile & E-mail ID Declaration

Adwealth Stock Broking Pvt. Ltd.

Member: NSE • BSE • MCX-SX | DP: CDSL

Corporate / Correspondence Off. Address :

7 Mangoe Lane, 1st Floor, Room No. 103, Kolkata-700001, Phone : (033) 4030 2999, Fax : (033) 2210 1213

DECLARATION FOR MOBILE NUMBER

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

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

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

 36 _____

Client Signature

PAN No. - _____

Date: _____



Acknowledgment

Adwealth Stock Broking Pvt. Ltd.

Member: NSE • BSE • MCX-SX | DP: CDSL

Corporate / Correspondence Off. Address :

7 Mangoe Lane, 1st Floor, Room No. 103, Kolkata-700001, Phone : (033) 4030 2999, Fax : (033) 2210 1213

Sub: Acknowledgment

This is to acknowledge the receipt of following documents.

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

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

Sl. No Brief significance of the Document

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

Yours faithfully,

 37 _____

Client Signature

Name of the Applicant: _____

PAN No. _____

Date: _____

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

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

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

Availability:

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

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

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

Receiving Alerts:

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

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

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

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

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

Annexure - A

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

1. All communication shall be sent at the address of the Sole/First Holder only.
2. Thumb impressions and signatures other than English or Hindi or any other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination, are as below :
 - I. The nomination can be made only by individuals holding beneficiary owner account on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the Demat account is held jointly, all joint holders must sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee can not be a trust, body corporate, partnership firm, karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of securities.
 - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals holding beneficiary owner account on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of Power of Attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all holders must sign the cancellation form.
 - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
4. Strike off whichever is not applicable
5. Clarifications with respect to Bank Proof to be submitted
 - i Photocopy or cancelled cheque having the pre-printed name of the account holder where the cheque book is issued, (or)
 - ii Photocopy of the Bank Statement for last two quarters having name and address of the client with Bank Logo or attested through respective bank.
 - iii Photocopy of the Passbook having name and address of the client, (or)
 - iv Letter from the Bank.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present/ mentioned on the document.
6. Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the Client
7. **For Individuals:**
 - a. Stock Broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub broker's office.
 - b. Registered Authorised Person / Sub-broker are also authorised to perform 'In-person Verification'.
 - c. In case of non-resident clients, employees of the stock broker's local office, overseas, can do 'in-person' verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/Consulate General in the country where the client resides may be permitted.
8. **For Non Individuals:**
 - a. Account Opening Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.
9. **Additional documents in case of trading in Derivatives Segments - illustrative list:**

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

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For Common KRA Purpose	Signatures At
Individuals	1, 2, 7
HUF (with Stamps, except on photo)	3, 4, 5
Non Individuals (with Stamps, except on photo)	3, 4, 5
Common for Trading A/c	6(a-g), 8-19, 25-26, 29-37
Internet Trading	27
Trading by Representative	28
Additional for Demat A/c	20-25, 38

CLIENT NAME _____

CLIENT CODE _____

DATE OF OPENING OF ACCOUNT _____

CHECKED BY _____

For any correspondence please contact your respective branch or the sales representative.

You can also contact our Customer Service Desk at (033) 4030 2999 or write to : kyc@adwealthgroup.com



Registered Office

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