INDEX OF DOCUMENTS			
DOCUMENT A FORMING PART OF ACCOUNT OPENING FORM			
SR.N O.	**NAME OF DOCUMENTS**	**BRIEF SIGNIFICANCE OF THE DOCUMENT**	**PG.N O.**
1	INSTRUCTION, CHECK LIST & GUIDELINES	INDEX & COMPANY INFORMATION	1 - 2
2	KYC FORM & ADDITIONAL INFORMATION OF APPLICANT FOR TRADING ACCOUNT	A. CKYC & KYC FORM - DOCUMENT CAPTURES THE BASIC INFORMATION ABOUT THE CONSTITUENT (INDIVIDUAL & NON-INDIVIDUAL)	3 - 8
		B. DOCUMENT CAPTURES THE ADDITIONAL INFORMATION ABOUT THE CONSTITUENT RELEVANT TO TRADING ACCOUNT	-
3	TRADING ACCOUNT RELATED DETAILS	DOCUMENT CAPTURES THE ADDITIONAL IN FORMATION ABOYT THE CLIENTS RELEVENT TO TRADING AND DEMAT ACCOUNT	09 – 11
4	TARIFF SHEET	BROKERAGE TARIFF SHEET	12
5	ADDITIONAL KYC FORM	DEMAT ACCOUNT OPENING FORM FOR INDIVIDUAL	13 – 14
6	SMS ALERT FORM	TERMS AND CONDITIONS FOR AVAILING TRANSACTION USING SECURED TESTING (TRUST) SERVICE OFFERED BY CDSL & TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL	14
7	NOMINEE FORM	NOMINATION FORM	15 - 17
8	ADDITIONAL KYC FORM	DEMAT ACCOUNT OPENING FORM FOR NON-INDIVIDUAL	18 - 19
9	SMS TRUST FORM FOR REGISTERING CM UNDER BO A/C	FORM FOR REGISTERING CLEARING MEMBERS ON WHOSE BEHALF THE SECURITIES CAN BE TRANSFERRED FROM THE ACCOUNT OF THE BO ON THE BASIS OF SMS UNDER TRUST FACILITY	20- 23
10	NRI DECLARATION & FEMA ACT	FEMA REGULATION & DECLARATION FOR CHANGE OF FOREIGN ADDRESS	24
11	EMAIL UNDERTAKING	CONFIRMATION FOR EMAIL ID FOR SENDING STATEMENT OF TRANSACTION FOR DP A/C	24
12	CONSENT FORMS FOR MOBILE NO. / EMAIL ID, AADHAAR NO. & BSDA	CONSENT LETTER TO UPDATE MOBILE NUMBER AND E-MAIL ID IN DEMAT AND TRADING ACCOUNTS	25
		CONSENT LETTER TO SHARE AND UPDATE AADHAAR NUMBER DETAILS IN DEMAT AND TRADING ACCOUNTS	26
		CONSENT LETTER FOR BASIS SERVICES DEMAT ACCOUNT FACILITY	27
13	OPTION FORM FOR ISSUE OF DIS BOOKLET	OPTION FORM FOR ISSUE OF DIS BOOKLET	28
14	HUF DECLARATION	DECLARATION OF HINDU UNDIVIDED FAMILY	29 – 30
15	TARIFF SHEET	TARIFF CARD FOR DEMAT ACCOUNT	31
16	UBO DECLARATION	UBO DECLARATION	32
17	FATCA FORM	FATCA/CRS SELF DECLARATION FORM (FOR INDIVIDUALS) & FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION FOR NON-INDIVIDUAL	33 – 37
18	RUNNING ACCOUNT AUTHORIZATION	DOCUMENT FOR REQUEST FROM CLIENT TO MAINTAIN RUNNING ACCOUNT FOR SECURITIES AND FUNDS IN ORDER TO MEET THE OBLIGATION OF EXCHANGE	38
19	ECN	DECLARATION / UNDERTAKING GIVEN BY THE CLIENT TO ABIDE WITH THE VARIOUS REQUIREMENTS TO AVAIL BROKING SERVICES	39
20	CLIENT DEFAULTER DECLARATION	CLIENT DEFAULTER DECLARATION	39
21	LETTER OF AUTHORITY	LETTER OF AUTHORISATION	40 - 41
22	MITC DECLARATION	MITC DECLARATION	42
23	TERMS & CONDITION FOR “T+5 PLUS” FACILITY	TERMS & CONDITIONS FOR “T 5 PLUS” FACILITY	43
24	RIGHTS AND OBLIGATIONS	DOCUMENT STATING THE RIGHTS & OBLIGATIONS FO STOCK BROKER / TRADING MEMBER, SUB-BROKER AND CLIENT FOR TRADING ON EXCHANGES (INCLUDING ADDITIONAL RIGHTS & OBLIGATIONS IN CASE OF INTERNET/WIRELESS TECHNOLOGY BASED TRADING).	44 – 47
25	RISK DISCLOSURE DOCUMENT (RDD)	DOCUMENT DETAILING RISKS ASSOCIATED WITH DEALING IN THE SECURITIES MARKET.	48 – 50
26	GUIDANCE NOTES	DOCUMENT DETAILING DO’S AND DON’TS FOR TRADING ON EXCHANGE FOR THE EDUCATION OF THE INVESTORS.	51

27	POLICIES AND PROCEDURES	DOCUMENT DESCRIBING SIGNIFICANT POLICIES AND PROCEDURES OF THE STOCK BROKER.	52- 53
28	POLICY FOR VOLUNTARY FREEZING	POLICY FOR VOLUNTARY FREEZING /BLOCKING OF ONLINE ACCESS TO TRADING ACCOUNT DUR TO SUSPICIOUS	53-34
29	POLICY ON HANDLING GOOD	POLICY ON HANDLING OF GOOD TILL CANCELLED OREDERS OFFERED BY MMEBERS TO CLIENTS	55-57
30	RIGHTS & OBLIGATION FOR BO & DP AS PRESCRIBED BY SEBI	RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES	58-61
31	CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS	CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS	62
32	DEMAT DEBIT & PLEDGE INSTRUCTIONS (DDPI)	A WRITTEN DOCUMENT IN WHICH ONE PERSON (THE PRINCIPAL) APPOINTS ANOTHER PERSON TO ACT AS AN AGENT ON HIS OR HER BEHALF ,THUS CONFERRING AUTHORITY ON THE AGENT TO PERFORM CERTAIN ACTS OR FUNCTIONS ON BEHALF OF THE PRINCIPAL.	63-64

Name of Stock Broker/ Trading Member/Clearing Member & Depository Participant	HPMG SHARES & SECURITIES PRIVATE LIMITED		
Single SEBI Registration No. across All Exchange & Segment	INZ000187530		Dated: 30 JULY 2018
DETAILS OF TRADING MEMBER ID / DP ID / AMFI ID / MERCHANT BANKING REGISTRATION NO. & CIN NO.	NSE TM ID	13002	
	BSE TM ID	6118	
	MSEIL TM ID	39200	
	CDSL DP ID & REGN NO.	12069200	IN-DP-163-2015 Dated: 18 NOV 2015
	AMFI NO.	153982	Dated: 29 SEP 2018
	CIN NO.: U67190MH2007PTC176790		
Registered Office Address	Office No. 201/202, 2nd Flr, Raj Kamal Next to Shreeji Arcade S V Rd; Kandivali West Mumbai- 400067		
Compliance officer's Name, Phone nos. & Email id:	NAME:	ABHIJEET MANOHAR HEGISHTE	
	PHONE NO.	022 - 6231 7670	
	EMAIL ID:	abhijit@hpmgshares.com	
Principal officer's Name, Phone nos. & Email id:	NAME:	HASIT BHARAT PANDYA	
	PHONE NO.	022 - 6231 7670	
	EMAIL ID:	hasit@hpmgshares.com	
DETAILS OF DIRECTORS & NAME, CONTACT NO. & EMAIL ID	MR. HASIT B. PANDYA	022 62317677	HASIT@HPMGSHARES.COM
	MR. MEHUL C. GANDHI	022-62317676	MEHUL@HPMGSHARES.COM

For any grievance/ dispute please contact HPMG SHARES & SECURITIES PRIVATE LIMITED at the above address or
In case not satisfied with the response, please contact the concerned exchange (s) & Depository Participants at:

NATIONAL STOCK EXCHANGE OF INDIA LIMITED	ignse@nse.co.in	Toll Free No.: 18002660058
BOMBAY STOCK EXCHANGE LIMITED	is@bseindia.com	(022) 22728097, 22728517
METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED	investorcomplaints@msei.in	(022) 61129000
CENTRAL DEPOSITORY SERVICES INDIA LIMITED	complaints@cdslIndia.com	Toll free: 1800-22-5533

Please visit our website : www.hpmgshares.com for PMLA & RMS Policy

CHECK LIST FOR NRI ACCOUNT OPENING

1. PAN Card copy + Tax ID
2. Passport size photographs
3. Passport (visa + address page)
4. Overseas address proof(if any)
5. Indian address proof (if any)
6. Cancelled cheque (NRE/NRO account)
7. Visa / residence / work permit (if any)
8. PIO / OCI (if foregin passport)
9. PIS letter (from Bank)
10. Copy of visa page for last entry into India (within the last 6 months)

SECURITIES AND EXCHANGE BOARD OF INDIA
Email : scores@sebi.gov.in **Visit us at :** www.scores.gov.in

DISCLOSURE IN TERMS OF SEBI CIRCULAR NO. : SEBI / MRD / SE / CR-42 / 2003 DATED NOVEMBER 19, 2003

HPMG SHARES & SECURITIES PRIVATE LIMITED caters to Institutional, Corporate, Highnet-worth and other retail clients through membership of various exchanges.

HPMG SHARES & SECURITIES PRIVATE LIMITED besides doing client based business also does its own investment and/or trading.

For HPMG SHARES & SECURITIES PRIVATE LIMITED		"Proprietary Trading Disclosure noted
	CLIENT NAME	
	CLIENT CODE	
	SIGNATURE OF CLIENT	
Director / Authorised Signatory		

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

Important Instructions:

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

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTO

Signature / Thumb Impression

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others (ISO 3166 Country Code)

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

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

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

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

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

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

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

4. PROOF OF ADDRESS (PoA)*

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

(Certified copy of <u>any one</u> of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify ☐ Simplified Measures Account - Document Type code

Address

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

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

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

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

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

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) Identification Number

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ **7. REMARKS (If any)**

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Date : D D – M M – Y Y Y Y Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

HPMG SHARES AND SECURITIES PVT. LTD.
CIN No. U67190H2007PTC176790
B-201/202, RAJ KAMAL,
NEXT TO SHREEJI ARCADE, S. V. ROAD,
KANDIVALI (WEST), MUMBAI-400 067.
TEL. : 022-2866 7060

'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity/ Other than Individuals

Important Instructions:

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

For office use only (To be filled by financial institution) Application Type* ☐ New ☐ Update KYC Number (Mandatory for KYC update request)

☐ 1. ENTITY DETAILS* (Please refer instruction **A** at the end)

☐ Name*

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* D D – M M – Y Y Y Y Date of Commencement of Business D D – M M – Y Y Y Y

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN * Form 60 furnished

TIN / GST Registration Number

☐ 2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact
☐ Certificate of Incorporation / Formation ☐ Registration Certificate Regn Certificate No.
☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf
☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ 3. ADDRESS* (Please see instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document
Line 1*
Line 2
Line 3 City / Town / Village*
District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

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

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided* may be used) (Please refer instruction **D** at the end)

Tel. (Off) – FAX –
Mobile – Email ID
Mobile – Email ID

☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction **E** at the end)

☐ 6. REMARKS (If any)

7. APPLICANT DECLARATION (Please refer Instruction **G** at the end)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : D D – M M – Y Y Y Y Place:

[Signature / Thumb Impression]

Signature / Thumb Impression of Authorised Person(s)

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
Identity Verification	☐ Done Date	Name	
Emp. Name		Code	
Emp. Code			
Emp. Designation			
Emp. Branch			

[Employee Signature]

[Institution Stamp]

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal]

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses 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/PIOCard/ OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if Z – Others (any document notified by the central government) is ticked.
5. Others – Identity card with applicant s photograph issued by any of the following: Central/ State Government 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):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant s photograph and address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

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

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of Know Your Distributor (KYD).
4. 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).
5. 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. Online Mode Processing of KYC:

1. EKYC BIOMETRIC
   - Applicant may directly upload their documents (OVD) as scanned images on intermediary s portal.
   - The documents should be e-signed.
   - Applicant details are verified using UIDAI Biometric details.
   - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
   - Intermediary attestation on documents is exempted.
2. EKYC OTP
   - Applicant may directly upload their documents (OVD) as scanned images on intermediary s portal.
   - The documents should be e-signed.
   - Applicant details are verified using UIDAI details using OTP.
   - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
   - Intermediary attestation on documents is exempted.
3. ONLINE KYC
   - Applicant may directly upload their documents (OVD) as scanned images on intermediary s portal.
   - The documents should be e-signed.
   - Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
   - Intermediary attestation on documents (OSV) is exempted.
4. OFFLINE EKYC
   - Applicant may directly upload their document (PAN copy) as scanned images on intermediary s portal.
   - The documents should be e-signed.
   - Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
   - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
5. DIGILOCKER
   - Digital KYC performed through the documents (OVD) sourced from Digilocker.
   - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
   - Intermediary attestation on documents is exempted.

ANNEXURE – 3
For Individuals & Non-individuals

TRADING ACCOUNT RELATED DETAILS

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

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

FOR NRI'S RBI PIS NO.: _____

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

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

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

C. TRADING PREFERENCES			
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you			
Exchanges	NSE, BSE & MSEI		
All Segments	Cash	F&O (NSE)	Currency
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.			

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

D. OTHER DETAILS	
1. Gross Annual Income details (please specify) : Income Range per annum	
❑Up to Rs. 1,00,000/- ❑Rs. 1,00,001/- to Rs. 5,00,000/- ❑Rs. 5,00,001/- to Rs. 10,00,000/- ❑Rs. 10,00,001/- to Rs. 25,00,000/- ❑Above Rs. 25,00,001/- OR Net worth as on Date: Rs. (Net worth should not be older than 1 year & mandatory for Non-Individual)	
2. Occupation (please tick any one and give brief details) 3. Please tick if applicable	❑ Private Sector ❑ Public Sector ❑ Government Service ❑ Business ❑ Student ❑ Professional ❑ Agriculturist ❑ Retired ❑ Housewife ❑ Others ❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (RPEP)

E. PAST ACTION

Details of any action/ proceedings initiated/ pending/ taken by SEBI / Stock Exchange/ any other authority against the applicant/constituent or its partners/promoters/whole time directors/ authorized persons in charge of dealing in securities during the last 3 years (If yes please give details): _____

_____

_____

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

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

Sub-broker's Name:_____ SEBI Registration number:_____

Registered Office address: _____

_____

Ph. No.:_____ Fax No.:_____ Website: www._____

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

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

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

G. ADDITONAL DETAILS

• I/We request you to settle my Fund account ❑ **Monthly** ❑**Quarterly**

• Whether you wish to receive physical contract note or Electronic Contract Note (ECN) Specify ❑ Yes ❑ No

you Email id, for ECN: _____

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

• Number of years of Investment / Trading Experience _____

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

• Any other information _____

Signature of Client: X _____

H. INTRODUCER DETAILS (OPTIONAL)

Name of Introducer:-				
Address of the Introducer:-				
Status of the Introducer:	❑ Sub Broker	❑ Remisier	❑ Authorized Person	❑ Existing Client
Others, Please Specify				
Phone No.:	Signature of Introducer: **X**			

DECLARATION

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

Place: _____ Date: _____

X: _____

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

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

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

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

Notes:

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

Signature of the Client: **X** _____ Name of the Client : _____

Client Code : _____

HPMG SHARES & SECURITIES PVT. LTD.

Registered/Corporate Office No. 201/202, 2nd Floor, Raj Kamal Next to Shreeji Arcade, S. V. Road, Kandivali - West, Mumbai - 400 067.
Tel. No. 022-6231 7600 • Fax No. : 022-6231 7689
Email ID for redressel of Investor Grievances: compliance@hpmgshares.com & cdsl@hpmgshares.com
Visit us at : www.hpmgshares.com Email ID : info@hpmgshares.com

Additional KYC Form for Opening a Demat Account

For Individuals

Depository Participant Name/Address

(To be filled by the Depository Participant)

Application No.									Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																	
DP ID									Client ID								

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

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

Holders Details

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

Name *	_____

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

Type of Account (Please tick whichever is applicable)

Status	**Sub – Status**
❑ Individual	❑ Individual Resident ❑ Individual-Director ❑ Individual Director's Relative ❑ Individual HUF / AOP ❑ Individual Promoter ❑ Minor ❑ Individual Margin Trading A/C (MANTRA) ❑ Others(specify) _____
❑ NRI	❑ NRI Repatriable ❑ NRI Non-Repatriable ❑ NRI Repatriable Promoter ❑ NRI Non-Repatriable Promoter ❑ NRI – Depository Receipts ❑ Others (specify) _____
❑ Foreign National	❑ Foreign National ❑ Foreign National - Depository Receipts ❑ Others (specify)_____

Details of Guardian (in case the account holder is minor)

Guardian's Name		PAN	
Relationship with the applicant			

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

I/ We wish to receive dividend / interest directly in to **my** bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	❑ Yes ❑ No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)									
IFS Code (11 character)										
Account number																

Account type	❑ Saving ❑ Current ❑ Others (specify)										
Bank Name											
Branch Name											
Bank Branch Address											
City		State		Country	PIN code						

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

› In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details Gross Annual Income Details	**Income Range per annum:** ❑ Up to Rs.1,00,000 ❑ Rs 1,00,000 to Rs 5,00,000 ❑ Rs 5,00,000 to Rs 10,00,000 ❑ Rs 10,00,000 to Rs 25,00,000 ❑ More than Rs 25,00,000	
	Net worth as on (Date) D D M M Y Y Y Y Rs	
	[Net worth should not be older than 1 year]	
Occupation	❑ Private / Public Sector ❑ Govt. Service ❑ Business ❑ Professional ❑ Agriculture ❑ Retired ❑ Housewife ❑ Student ❑ Others (Specify) _____	
Please tick , if applicable:	❑ Politically Exposed Person (PEP) ❑ Related to Politically Exposed Person (RPEP)	
Any other information:		

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

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

❑ Jointly	❑ Anyone of the Holder

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

❑ first Holder	❑ All Holder	Email id
	❑ Second Holder	
	❑ Third Holder	

	First Holder	Second Joint Holder	Third Joint Holder
Name			
Specimen Signature			

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

HPMG SHARES & SECURITIES PVT. LTD.

Registered/Corporate Office No. 201/202, 2nd Floor, Raj Kamal Next to Shreeji Arcade, S. V. Road, Kandivali - West, Mumbai - 400 067. Tel. No. 022-6231 7600 • Fax No. : 022-6231 7689
Email ID for redressel of Investor Grievances: compliance@hpmgshares.com & cdsl@hpmgshares.com
Visit us at : www.hpmgshares.com Email ID : info@hpmgshares.com

Nomination Details

Nomination Registration No.	**Dated**

☐ I/We hereby confirm that I/We **do not wish to appoint any nominee in my demat account** and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.

	First/Sole Holder or Guardian (in case of Minor)	**Second Holder**	**Third Holder**
Name			
Signatures			

Note:

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

☐ I/We **nominate** the following person**s** who is/**are** entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name : *First Name: Middle Name: *Last Name			 ....
***Percentage of allocation of securities** Equally [If not equally, please specify percentage] **Or** **Share of each Nominee**	 **%**	 **%**	 **%**

Any odd lot after division shall be transferred to the first nominee mentioned in the form

Nomination Identification Details – [Please tick any one of following and provide details of same]	Nominee 1	Nominee 2	Nominee 3
Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID **[Optional Fields]**			
*Address:			
*City			
*State			
*Pin			
*Country			

Mobile no/Telephone No. **[Optional Fields]**			
Email ID: **[Optional Fields]**			
FAX No. **[Optional Fields]**			
*Relationship with the BO:			
To be filled only if nominee(s) is a minor:			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy			
Name of the Guardian of Nominee (if nominee is a minor) *First Name: Middle Name: *Last Name	....	....	....

*Address of the guardian of nominee:			
*City			
*State			
*Country			
*PIN			
Age			
Mobile /Telephone no **[Optional Fields]**			
Email ID: **[Optional Fields]**			
Fax No. **[Optional Fields]**			
*Relationship of the Guardian with the Nominee			
Guardian Identification details – [Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID **[Optional Fields]**			

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

*** Marked is Mandatory field**

Note:

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

Details of the Witness	
	Witness Details
Name of witness	
Address of witness	
Signature of witness	

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

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

	First/Sole Holder or Guardian (in case of Minor)	**Second Holder**	**Third Holder**
Name			
Signatures			

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

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

Acknowledgement Receipt

Application No.: **Date:**

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

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

Depository Participant Seal and Signature

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

HPMG SHARES & SECURITIES PVT. LTD.

Registered/Corporate Office No. 201/202, 2nd Floor, Raj Kamal Next to Shreeji Arcade, S. V. Road, Kandivali - West, Mumbai - 400 067. Tel. No. 022-6231 7600 • Fax No. : 022-6231 7689
Email ID for redressel of Investor Grievances: compliance@hpmgshares.com & cdsl@hpmgshares.com
Visit us at : www.hpmgshares.com Email ID : info@hpmgshares.com

Additional KYC Form for Opening a Demat Account

For Non-individuals

Depository Participant Name / Address / DP ID

(To be filled by the Depository Participant)

Application No.									Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																	
DP ID									Client ID								

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

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

Holders Details

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

*** Exchange ID**

Name *	_____

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

Type of Account (Please tick whichever is applicable)

Status	**Sub – Status**
❒ Body Corporate ❒ Banks ❒ Trust ❒ Mutual Fund ❒ OCB ❒ FII ❒ CM ❒ FI ❒ Clearing House ❒ Other (Specify) _____	**To be filled by the DP**

SEBI Registration No. (If Applicable)		SEBI Registration date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)		RBI Approval date	D	D	M	M	Y	Y	Y	Y
Nationality	❒ Indian ❒ Others (specify)									

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be `Yes')	[Automatic Credit] ❒ Yes ❒ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	❒ Yes ❒ No
Account Statement Requirement	❒ As per SEBI Regulation ❒ Daily ❒ Weekly ❒ Fortnightly ❒ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID	❒ Yes ❒ No
I / We would like to share the email ID with the RTA	❒ Yes ❒ No
I / We would like to receive the Annual Report ❒ Physical / ❒ Electronic / ❒ Both Physical and Electronic (Tick the applicable box. If not mark ed the default option would be Physical)	

Clearing Member Details (To be filled by CMs only)

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

I / We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	❒ Yes ❒ No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	❑ Saving ❑ Current ❑ Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City	State		Country		PIN code				

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

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

Other Details

Gross Annual Income Details	Income Range per annum: ❑ Up to Rs1,00,000 ❑ Rs1,00,000 to Rs5,00,000 ❑ Rs5,00,000 to Rs.10,00,000 ❑ Rs.10,00,000 to Rs.25,00,000 ❑ Rs25,00,000 to Rs.1,00,00,000 ❑ More than Rs1,00,00,000								
	Net worth as on (Date)	D	D	M	M	Y	Y	Y	Y	Rs
	[Net worth should not be older than 1 year]								
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP). Please provide details as per Annexure 2.2 A.									
Any other information:									

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

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

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

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

(Signatures should be preferably in black ink)

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

1. **Definitions:**
   In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:
   i. "Depository" means Central Depository Services (India) Limited (CDSL)
   ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
   iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
   iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
   v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time . . Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transac-tions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
    In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
    Depository shall be absolved of any liability in case:-
    a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
    b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
    c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

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

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at **Marathon Futurex, A-Wing, 25th floor, N M Joshi Marg, Lower Parel, Mumbai 400013** and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off'' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

I/We provide the following information for the purpose of REGISTRATION/MODIFICATION

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

To,

HPMG SHARES & SECURITES PRIVATE LIMITED

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

Dear Sir/Madam,

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

a. SMART-SMS alert facility ❑

b. TRUST- Transaction using Secured Texting facility ❑

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

BOID

1	2	0	6	9	2	0	0									

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+91										

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

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

The mobile number is registered in the name of: _____

Email ID: _____

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

I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

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

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

Place: _____ Date: _____

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

To,

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

Dear Sir/Madam,

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

BOID: | 1 | 2 | 0 | 6 | 9 | 2 | 0 | 0 | | | | | | | | | |

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name: _____

Second Holder's Name: _____

Third Holder's Name: _____

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

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

Signatures

X _____ Sole / First Holder

X _____ Second holder

X _____ Third Holder

Place: _____ Date: _____

FEMA REGULATION (APPLICABLE ONLY FOR NRI)

From:_____

_____

_____

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

Dear Sir/Madam,

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

Thanking you,

Yours truly,

X

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

From:_____

_____

_____

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

Dear Sir/Madam,

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

Thanking you,

Yours truly,

X

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

Re: Beneficial Owner (BO) Account No 12069200_____

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

Email Address:_____

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

Thanking You,
Yours faithfully,

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

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

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

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

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

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

MOBILE NO.	**Name of person :**
Mobile No. is registered in the name of ❑ Self ❑ Other Incase registered in the name of others, please specified the following :	Relationship with the client : ❑ Spouse ❑ Dependent Child ❑ Dependent Parents
EMAIL ID :	**Name of Person :**
Email ID registered in the name of ❑ Self ❑ Other Incase registered in the name of others, please specified the following	Relationship with the client : ❑ Spouse ❑ Dependent Child ❑ Dependent Parents

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Mobile No. / E-mail ID is registered in the Name of ❑ Self ❑ Other			
Relation with the Client ❑ Spouse ❑ Dependent Child ❑ Dependent Parents			
Signature	X	X	X

(Signatures should be preferably in black ink).

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

To,

HPMG SHARES & SECURITIES PRIVATE LIMITED

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

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

Dear Sir/Madam,

Date:

Request for Aadhaar updation: ❑ YES ❑ NO

X	X	X	X	X	X	X	X				

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

Consent to share Aadhaar details: ❑ YES ❑ NO

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

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

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

CONSENT LETTER FOR BASIC SERVICES DEMAT ACCOUNT FACILITY

To,

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

Date:

Dear Sir/Madam,

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

❑ I /We wish to avail the BSDA (BASIC SERVICES DEMAT ACCOUNT) facility for my/our below mentioned demat account number.

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

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

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

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

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: _____

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

HPMG SHARES & SECURITIES PRIVATE LIMITED

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

Dear Sir / Madam,

I / We hereby state that:

☐ **OPTION 1:** [Select one of the options given below]

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with **HPMG Shares and Securities Pvt. Ltd.** for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager.

Yours faithfully

	First/Sole holder or Guardian (in case of Minor)	Second Joint Holder	Third Joint Holder
Name			
Mobile No.			
E-mail ID			
Signature	**X**	**X**	**X**

OR

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with **HPMG Shares and Securities Pvt. Ltd.** for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole holder or Guardian (in case of Minor)	Second Joint Holder	Third Joint Holder
Name			
Mobile No.			
E-mail ID			
Signature	**X**	**X**	**X**

For HPMG SHARES & SECURITIES PVT LTD.

(Authorised Signatory)

DECLARATION OF HINDU UNDIVIDED FAMILY **VOLUNTARY**

To,

HPMG SHARES & SECURITIES PRIVATE LIMITED

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

Dear Sir/Madam,

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

   _____

   at _____

   _____

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

   A. That, Shri _____ is the present karta or manager of the said joint family.
   B. That we are entitled to open Demat Account/Trading Account of the said joint family.
   C. That each one of us has full and unrestricted authority to act on behalf and bind the said HUF and all the present as well as future member both adults and minors of the said joint family howsoever constituted from time to time.

2. We confirm that the affairs of the said joint family and the business of the said HUF and carried on mainly by Karta/ Manager the said Shri _____ on behalf and in the interest and for the co-partner of said joint family. Shri _____ may sale/purchase/transfer/endorse/negotiate documents Or otherwise deal through **HPMG SHARES & SECURITIES PRIVATE LIMITED** on behalf of HUF. He is also authorised to sign/ requisite documents writing and deed as may be deemed necessary to open account and give effect to this purpose. We are however jointly and severally responsible for all the liabilities of the said joint family including the interest thereon of every co-partner of said joint family including the share of minor copartner if any.

3. We undertake to advice the member in writing of any change that may occur in managership or in the constitution of the said joint family or the said HUF and until receipt of notice by such member, the member will be entitled to regard each of as a member of said joint family and as a partner of said HUF and all acts, dealings and transactions purporting to have been done on behalf of the said joint family or the said HUF before the member shall have received the notice in the manner for said shall be binding on the said joint family and the said HUF and our respective estates. We shall however continue to be liable jointly and severally to the member for all dues and obligations of the said HUF in the member's book on the date of the receipt of such notice by one member and until all such dues and obligation shall have been liquidated and discharged.

4. We recognize the beneficiary account can be opened with depositary participant only in the name of karta as per regulations to facilitate the operations of the above Trading Account/ Demat Account with you and for the purpose of completing the share transfer obligations peculiar to the demat operation s, we authorise you to recognized the beneficiary account with depository opened in the name of Shri _____ who is karta/manager of HUF.

5. I agree that obligation for share purchase or sale by the HUF will be handled and completed through transfer to/from the above mentioned account. I recognized and accept transfer mode by you to the beneficiary as completion of obligations by you in respect of transactions executed in the above Demat Account/ trading Account of the HUF.

6. The names and the date of birth of present minor and major member of the said joint family are given below. We undertake to inform you in writing that and when each of the said members attain the age of majority and is authorized to act on behalf of and bind the said "HUF".

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

Name of Applicant _____ PAN of the Applicant | | | | | | | | | | |

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

Name & Signatue of the Authorised Signatory(ies) Date d d / m m / y y y y

CVL

HPMG GROWING TOGETHER

* TARIFF CARD *

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

Notes:

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

* CONSENT FOR LIFETIME AMC FACILITY ONLY FOR INDIVIDUAL DEMAT ACCOUNT

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

I/We hereby accept the charges as mentioned above.

Client Name: 1. _____

2. _____

3. _____

Signatures

X _____ Sole / First Holder

X _____ Second holder

X _____ Third Holder

FOR HPMG SHARES & SECURITES PVT. LTD.



AUTHORISED SIGNATORY

DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP
(mandatory For Non-individuals)

To be filled in BLOCK LETTERS (Please strike off section(s) that is/are not applicable)

1 APPLICANT/ INVESTORS DETAILS:

Investor Name

Pan No.

2 LISTED COMPANY / ITD SUBSIDIARY COMPANY [Part III Details Not Applicable]

We hereby declare that ☐ Our company is a Listed Company listed on recognized stock exchange in India ☐ Our company is a subsidiary of the Listed Company

☐ Our company is controlled by a Listed Company

(ii) Details of Listed Company^ (^The details of holding/parent company to be provided in case the applicant/investor is a subsidiary company.)

Stock Exchange on which listed Security ISIN

3 NON-INDIVIDUALS OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

(I) Category [✓ applicable category]:

☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company ☐ Unincorporated association / body of individuals ☐ Public Charitable Trust

☐ Religious Trust ☐ Private Trust ☐ Trust created by a Will ☐ Others _____ [please specify]

(ii) Details of Ultimate Beneficiary Owners: (In case the space provided is insufficient, please provide the information by attaching separate declaration forms)

Name of UBO & Address [Mandatory]	PAN or any other valid ID proof for those where PAN is not applicable / Tax identification number (or functional equivalent) for each country identified in relation to each investor# [Mandatory]	Country of tax residency/ permanent residency	Country of citizenship	UBO Code [Mandatory] [Refer instruction 3]	KYC (Yes/No) [Please attach KYC acknowledgement copy] [Refer instruction 2]

#Attached documents should be self-certified by the UBO and certified by the Applicant/Investor Authorized Signatory/ies.

4 DECLARATION

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief. In the event any of the above information is/are found to be false/incorrect and/or the declaration is not provided, then the AMC/Trustee/Mutual Fund shall reserve the right to reject the application and/or reverse the allotment of units and the AMC/Mutual Fund/Trustee shall not be liable for the same. I/We hereby authorize sharing of the information furnished in this form with all SEBI Registered Intermediaries and they can rely on the same. In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Date: D D M M Y Y Y Y Place:

GENERAL INFORMATION & INSTRUCTIONS

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No.CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

1. Ultimate Beneficiary Owner [UBO]:

A. For Investors other than individuals or trusts:

(i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/ entitlement to:
- more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
- more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

(ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.

(iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:
The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors
The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

2. KYC requirements
Beneficial Owner(s) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the listed Beneficial Owner(s).

3. UBO Code Description
UBO-1 : Controlling ownership interest of more than 25% of shares or capital or profits of the juridical person [Investor], where the juridical person is a company • UBO-2 : Controlling ownership interest of more than 15% of the capital or profits of the juridical person [Investor], where the juridical person is a partnership • UBO-3 : Controlling ownership interest of more than 15% of the property or capital or profits of the juridical person [Investor], where the juridical person is an unincorporated association or body of individuals • UBO-4 : Natural person exercising control over the juridical person through other means exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO -3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests] • UBO-5 : Natural person who holds the position of senior managing official [In case no natural person cannot be identified as above] • UBO-6 : The settlor(s) of the trust • UBO-7 : Trustee(s) of the Trust •UBO-8 : The Protector(s) of the Trust [if applicable]. • UBO-9 : The beneficiaries with 15% or more interest in the trust if they are natural person(s) • UBO-10 : Natural person(s) exercising ultimate effective control over the Trust through a chain of control or

FATCA/CRS SELF DECLARATION FORM (FOR INDIVIDUALS)

(For DP & Trading)

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

HPMG SHARES & SECURITIES PRIVATE LIMITED

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

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

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

Part II

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

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

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

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

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

Reason: _____

Part III- Customer Declaration

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

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

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

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

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

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

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

Signature	**X**
Name	
Date	
PAN Number	

Part IV- Self-Certification:
To be filled only if-
(a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
(b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India

Signature	**X**
Name	
Date	
PAN Number	

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

For Office use only

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

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

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

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

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

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

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

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

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

Entity Classification:	
Part I – Financial Institution	
A.	Whether Reporting Financial Institution (Please tick as applicable) : ❑ Yes ❑ No If Yes, Please tick any one of the following categories as applicable to you and provide your Global Intermediary Identification Number (GIIN): Depository Instt. Custodial Instt. Investment Entity Specified Insurance Company GIIN: [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]
B.	Whether Non Reporting Financial Institution (Please tick as applicable) : ❑ Yes ❑ No If Yes, Mention category as applicable to you (Refer Annexure B):
C.	Whether Sponsored Investment Entity which is not qualified intermediary to obtain GIIN but Sponsored by another entity that has registered as a Sponsoring Entity (Please tick as applicable): ❑ Yes ❑ No If Yes, Please provide the following details of Sponsoring Entity : Name of Sponsoring Entity : ____ GIIN of Sponsoring Entity : ____
D.	Whether Trustee Documented Trust and has not yet obtained GIIN (Please tick as applicable): Yes No If Yes, Please provide the following details of Trustee: Name of Trustee : ____ GIIN of Trustee : ____
E.	Whether Owner documented Financial Institution (Please tick as applicable) : ❑ Yes ❑ No If Yes, Provide the details of each controlling person in the table given below
F.	Whether Non Participating Financial Institution (Please tick as applicable) : ❑ Yes ❑ No
	Part II . Non Financial Entity (NFE)
A.	Whether Active NFE (Please tick as applicable) : ❑ Yes ❑ No If Yes, Provide the applicable Category (Refer Annexure C): __________________________ In case, falling under category 2, Please provide the following details: a. If you are a listed Entity : Name of the Stock Exchange ___________________________ b. If you are related of any listed Entity, Provide the following Details: Name of Related Entity: ___________________________ Name of Stock Exchange _______________
B.	Whether Passive NFE (Please tick as applicable) : ❑ Yes ❑ No If Yes, Provide the applicable Category (Refer Annexure D): ____________________. Also Provide the details of each controlling person in the table given below
C.	Whether Direct Reporting NFE (Please tick as applicable) : Yes No If Yes, Please provide GIIN: [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]

Controlling Person Declaration:

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

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

Declaration:

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

Signature with relevant seal:

X	**X**	**X**

Date: _____ Place: _____

Running Account Letter

VOLUNTARY

To
HPMG SHARES AND SECURITIES PVT LTD.
201 202 2nd Floor Raj Kamal Next to Shreeji Arcade, S.V. RD
Kandivali West, Mumbai – 400067.

Sub: Maintenance of my/our account on a running account basis.

Dear Sir/ Madam

Due to operational convenience and to be in a position to settle my / our trades within the Exchange specified Settlement Schedule. I/ We request you to offer the facility of maintaining the running account with you. I / We understand and agree the following

1. You can retain the funds with you, received as payouts from the Exchange on my / our future transactions or outstanding positions, if any.
2. You can retain the securities with you, in your margin Account received as Payouts from the Exchanges on my / our behalf. The same can be used towards margin / collaterals for my / our future transactions or against outstanding positions.
3. In case of any sale transactions done by me / us, you can automatically deliver the shares to the Exchange towards Paying of my / our shares if any lying with you on my / our behalf.
4. In case of any purchase transaction done by me / us you can automatically make the funds' pay in to the Exchange out of the credits Lying in my / our account on my behalf.
5. In case of any debit balance in my / our account you can square off my / our securities held by me / us to the extent of our debit balance without any notice to me / us.
6. You can transfer funds / securities from my / our account in one segment against my obligation/ margin requirements in another segment in the same Exchange or different Exchange / Us.
7. I / We confirm that the funds mean monies lying as credit in my / our account or payouts that are received from Exchanges arising out of sale of securities.
8. In case I / we require funds or securities, I/ we will inform you of the same in writing, after which you can make the payment, transfer the securities to me / us on my / our request.
9. I / We Understand and agree that no interest would be paid on my / our credit balance in the running account with HPMG.
10. I / We will not hold HPMG responsible for any loss / damage arising out of such transfers and or sale done by HPMG on my/our behalf, pursuant to these instructions.
11. In case I / we wish to revoke this consent at any time, I / we shall inform HPMG in writing and get it acknowledged by HPMG.

My /Our preference for actual settlement of funds and securities is at least (tick the appropriate choice):

a) ☐Once in a calendar Quarter **b) ☐Once in calendar month**

At the time of the settling the account as above, in case I/ we are having any outstanding obligation, HPMG may retain the funds & securities required to meet 225% of total margin liability in all the segments across exchanges, calculated in the manner specified by the exchanges/ SEBI.

I/we shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be. In the case of non- receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me.

Thanking You,
Yours faithfully

Client Signature

ELECTRONIC CONTRACT NOTES

VOLUNTARY

MANDATE TO ISSUE CONTRACT NOTES IN DIGITAL FORMAT

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

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

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

Email ID: _____

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

I/We have noted the following:

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

Yours faithfully,

Signature of Client: **X** _____

CLIENT DEFAULTER DECLARATION

VOLUNTARY

Date: _____

I_____ having PAN _____

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

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

Yours Faithfully

Signature of Client: **X** _____

Client Name: _____ **LETTER OF AUTHORITY**

Client Code: _____

Date: _____

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

Dear Sir,

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

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

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

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

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

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

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

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

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

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

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

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

Yours faithfully,

Signature of the Client: **X** _____

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

Date: _____

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

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

Yours faithfully,

Signature of the Applicant: **x** _____

HPMG SHARES & SECURITIES PVT. LTD.

Registered/Corporate Office No. 201/202, 2nd Floor, Raj Kamal Next to Shreeji Arcade, S. V. Road, Kandivali - West, Mumbai - 400 067.
Tel. No. 022-6231 7600 • Fax No. : 022-6231 7689
Email ID for redressel of Investor Grievances: compliance@hpmgshares.com & cdsl@hpmgshares.com
Visit us at : www.hpmgshares.com Email ID : info@hpmgshares.com

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

	First / Sole Holder	Second Holder	Third Holder
Signature			

TERMS & CONDITIONS FOR "T 5 PLUS" FACILITY

I am a registered client with HPMG Shares & Securities Pvt. Ltd. (HPMG) and dealing in Capital Market / Equity Derivative Market / Currency Derivative Market. My Trading account and Demat Account no. is mentioned below. I hereby request HPMG to grant me further exposure and allow me to continue it beyond T+5 days, on the basis excess of fully paid securities available in my demat account maintained with HPMG as collaterals over the Debit balance in my ledger account with HPMG (hereinafter referred to as " T+5 "/ "The Facility") I hereby request HPMG to grant me this facility of exposure beyond T+5 days, based on the excess of fully paid securities (collaterals) available in my demat account maintained with HPMG after adjusting the debit balance in my trading account with HPMG. I agree to accept and abide by all the terms, conditions, norms, instructions, advisory, process etc prescribed by HPMG in this regard and undertake to comply and assist HPMG in strict implementation thereof. The collaterals shall include the shares from the approved NRML scrip basket of HPMG. The constituents of NRML approved basket may be revised by HPMG as per their discretion. I agree, accept, and acknowledge the following terms and conditions prescribed by HPMG for the aforesaid availing the aforesaid facility (T+5):-

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

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

Trading Account No.(Client Code):_____ Demat Account No. _____

Client Name:_____ Client Signature: **X** _____

MANDATORY

ANNEXURE – 4

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

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

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

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

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

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete `Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/ e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/ stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

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

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

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

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

   The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/ Exchange end for any reason beyond the control of the stock broker/Exchanges.

   Yours faithfully,

   Signature of the Client: **X** _____

ANNEXURE – 5 **MANDATORY**

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

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

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

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

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

2.2 Currency specific risks:

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

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

2.3 Risk of Option holders:

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

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

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

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

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

4. GENERAL

4.1 The term ‘constituent’ shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

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

Yours faithfully,

Signature of the Client: **X** _____

ANNEXURE-6

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

MANDATORY

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

TRANSACTIONS AND SETTLEMENTS

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

Yours faithfully,

Signature of the Client: **X** _____

POLICIES AND PROCEDURES

MANDATORY

A. Refusal of orders for penny stocks:

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

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

B. Setting up client's exposure limit:

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

C. Applicable brokerage rate:

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

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

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

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

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

F. If client has short delivered any securities against his / her pay-in-obligation towards a counter party who is a client of HPMG and it resulted into internal shortage, self - Auction of Internal short scrip will be carried out by HPMG and such transactions shall be squared off on T+1 day and the buyer will be credited and the seller will be debited with the amount of such shares using the following formula :
The Purchase price on T day / Closing price of T+1 day (whichever is higher) +2%penalty.

G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client. HPMG SHARES & SECURITIES PVT.LTD. shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:
- Extreme volatility in the market or in particular scrip or in the F&O segment.
- If there is shortfall in the margin deposited by client with HPMG SHARES & SECURITIES PVT.LTD.
- If there is insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.
- If there are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- Of the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If HPMG SHARES & SECURITIES PVT.LTD. has reached its limit in that scrip.
- If the clients has breached the client-wise limit.
- If the client has taken or tends to take new position in a security which is in the ban period.
- Of due to abnormal shortfall in the market, if market are closed.

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

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

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

K. Client Acceptance of Policies and Procedures stated hereinabove:
- I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/ clauses of this document in any circumstances what so ever. These Policies and Procedures may be amended/ changed unilaterally by the broker, provided the change is informed to me/ us with through any one or more means or methods. I/We agree never to challenge the same on any grounds including delayed receipt/ non receipt or any other reasons whatsoever. These Policies and Procedures shall always be compulsorily referred to while deciding any dispute/ difference or claim between me/ us and stock broker before any court of law/ judicial/ adjudicating authority including arbitrator/ mediator etc.

Yours faithfully,

Signature of the Client: **X** _____

BACKGROUND

Exchanges vide it's circular NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024. Pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled" / "Good Till Triggered" orders or orders of similar type.

SCOPE:

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

Details of Good Till Cancelled/Good Till Triggered/orders –

a. The GTDt feature is available to all users who have a valid and active trading account for Equity and Derivative segment. Users must comply with the terms and conditions set forth by the trading platform and the regulatory authorities governing equities and derivatives trading. All securities in BSE & NSE except securities in debt segment, NCD, Bonds and illiquid securities are eligible for the placing GTDt order

i. Clients can also place GTDt Buy and Sell (sell- Open position only) order under E-Margin Product.

ii. Stop loss orders can also be placed with GTDt validity.

iii. Clients can modify the quantity or limit price of a GTDt orders. Clients can modify the order only when the order is in 'Ordered status' (during market hours) or 'Requested status' (after market hours). "GTDt Blocked" orders cannot be modified but can only be cancelled.

iv. Orders with GTDt validity can be placed both during the market hours as well as post market hours.

b. **Order Validity**

The GTDt order will remain and be carried forward in the system over a period of time until:

- The order is fully executed; or
- The order is withdrawn or cancelled; or
- The order is automatically and permanently cancelled as provided in clauses below; or
- The expiry of the order or the validity period of 180 days, whichever is earlier.

c. **Order Expiry and Validity**

- The GTD order expiry date is mandatory and must be submitted with the order entry.
- The number of valid days for the GTD order depends on expiry date or on execution / cancellation / system rejection / margin or price changes and other operational or market risks. The maximum validity period of an order is:
- 180 days from the date of placing the order; or
- Expiry date of an order; whichever is earlier

d. **<u>Automatic Cancellation of Orders</u>**

The GTDs order will be cancelled automatically and permanently when any of the following events occur:

a) The order value of the GTD order exceeds the available trading limit when the order is released to the Exchange.

b) Trading limit or balance is insufficient for the GTD order at the point of release to the Exchange.

c) The specific counter in relation to the GTD order is suspended from trading or due to the impact of corporate action.

d) The price of the GTD order is outside the range of price limit.

e) At the end of the last business day upon the expiry date.

e. GTDt is a order facility through which a client can place buy and sell limit orders in shares, index futures & index options specifying the period for which the order instruction is valid. The period selected by the client shall be within the maximum validity date defined by KSSB. Since client has the right to define validity date ("order validity date"), this order type is called as Good Till Date (GTDt) order.

f. All existing and new clients of KSSB who are eligible to trade in Equity Cash product & Derivatives can avail GTDt facility for order placement.

g. The facility of placing a GTDt order is available in Equity Cash product, Index futures, Index Options and E-Margin (MTF) product only. It is not available for other products like Margin, Spot, etc. As and when, GTDt orders are introduced in new segments the same shall be displayed through the KSSB website and subsequently updated in the policy.

h. GTDt orders can only be placed by specifying a limit price. GTDt orders cannot be placed at market price.

i. If a GTDt order is not executed for the entire quantity, KSSB is authorised to place fresh orders for the unexecuted quantity for the client on the subsequent trading days till the entire quantity is executed or till the validity expires, whichever is earlier. This feature permits the client to specify the number of days during which the client intends to place the orders.

j. Client shall ensure that necessary funds/margins are available to place GTDt orders in their account for the unexecuted quantity of the order.

k. In case the GTDt order validity date falls on a non-trading day, the order is expired by KSSB on the last trading day which falls prior to such order valid date which is a non-trading day. Post the expiry, the status of GTDt order is updated as Expired (Closed).

l. Once a client has placed a GTDt order, KSSB will place orders for the unexecuted quantity of the GTDt order for all the days during the validity period or till the quantity is fully executed or cancelled or rejected due to any reason. Client may login only to check the status of such orders.

m. For the unexecuted quantity orders shall be placed daily as overnight orders during the validity period, i.e. until the order validity date is less than or equal to the next trade date provided such GTDt order remains unexecuted and is not cancelled, nor rejected due to any reason. The orders would be placed on these dates provided they are trading days.

1. **Client Responsibilities**

The GTDs order will not be checked and rejected by the system for any Corporate Actions (e.g., Capital Reduction, Capital Restructuring, Right Issue, Bonus, and Split etc.) announced during the validity period of the GTDs order. It is the duty and responsibility of the Client to monitor Corporate Actions for their GTDt order and cancel or amend the order if required, as Corporate Actions normally involve change of price and/or quantity on ex-date. KSSB shall not be liable or held responsible for any failure to provide such notifications or any consequences arising there from.

Users are responsible for ensuring the accuracy and completeness of the order details, including the GTDt expiration date. The GTDs order requires cash/ (Limit) up front, and the Client must ensure that there is sufficient cash (Limit).

2. **Handling of GTDt orders in case of corporate actions :**

Post Corporate Action, GTDt orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges.

The orders which would get failed in circuit check and daily price range for next day pumping would be kept in system in "GTDt Blocked" status for retry on subsequent trading day.

POLICY COMMUNICATION

The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good Till Cancelled Orders of Client" of Policy and Procedures document and shall also be displayed on the website.

POLICY REVIEW

The said policy shall be reviewed on an annual basis or when you are require.

	First /Sole holder	Second holder	Third Holder
Signature			

POLICY AND PROCEDURES FOR PROVIDE FACILITY OF VOLUNTARY FREEZING OR BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT TO THE CLIENT ON ACCOUNT OF SUSPICIOUS ACTIVITY.

1. INTRODUCTION

In order to enhance the ease of doing business and ease of doing investments for investors and to enhance protection of investors from suspicious activities; SEBI, has vide its circular ref. No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 has mandated that a framework shall be laid down by stock exchanges for Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients. Accordingly, stock exchanges have issued circulars providing a framework for trading members for the facility of voluntary freezing/blocking the online access of the trading account for clients.

In accordance with the above, Trading Members are required to frame a policy in line with the exchange prescribed framework, which shall be part of the trading member's Risk Management Policy and shall be displayed on its website along with the process and mode(s) through which the client can place the request to freeze / block & unfreeze / unblock the trading account along with the timelines that will be followed by the trading members for the same.

2. SCOPE AND APPLICABILITY

HPMG Shares and Securities Pvt. Ltd. , being a Trading Member providing Internet Based Trading/ Mobile Trading/ other online access for trading, is required to make available to the clients at least two modes as prescribed by the exchanges through which the client may request for voluntary freezing/ blocking the online access of trading account if any suspicious activity is observed in the trading account.

The policy shall be applicable with effect from **July 01, 2024**

The policy shall be provided to new on boarded clients as part of account opening kit with effect from applicable date, **July 01, 2024**.

It shall be communicated to all existing clients via email or any other suitable mechanism which can be preserved by **July 01, 2024**. In case, communication gets bounced /undelivered, the same shall be communicated through alternate channels to such clients. Other suitable mechanism may include physical delivery/SMS/electronic instant messaging services after adhering with the safeguards prescribed on Issuance of Electronic Contract Notes (ECN) through SMS/electronic instant messaging services.

3. MODE OF RECEIPT OF REQUEST FOR FREEZING/BLOCKING THE TRADING A/C:

Following modes shall be provided by the Company for receipt of request for freezing/blocking the clients trading A/c

An e-mail ID it@hpmgshares.com & compliance@hpmgshares.com to be provided to the clients for making request for voluntary freezing/ blocking of the online access of the clients' trading account.

A dedicated IVR/ tele calling Line 022-62317665 to be is provided to clients to place request for voluntary freezing/ blocking of the online access of the clients' trading account

4. PROCEDURE TO BE FOLLOWED ON RECEIPT OF REQUEST FOR FREEZING/BLOCKING THE TRADING A/C.:

On receipt of request from clients through any of the prescribed modes of communications; for freezing/blocking of the online access of the trading account from the client:

- Company shall validate that the request is received from a registered client and issue an acknowledgement for the same.
- Company shall freeze/block the online access of the client's trading account and simultaneously cancel all the pending orders of the said client.

To validate that the request for freezing/blocking of the online access of the trading account is received from the respective client; company shall verify, whether request is received from the registered e-mail Id / mobile number of the client.

- The timelines for freezing/ blocking of the online access of the clients' trading account is as under:

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading	Within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

- Post freezing/blocking the client's trading account, company shall send a communication on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account
- Company shall also communicate / provide the details of open positions of client (if any) along-with contract expiry information within one hour from the freezing/blocking of the trading account.
- Company shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients
- In case of failure of in freezing/ blocking the online access within the prescribed timelines, there is a risk that company may be held responsible for any trades executed from the time of receipt of such request till such time the online access is blocked / frozen.

5. RE-ENABLING THE CLIENT FOR ONLINE ACCESS OF THE TRADING ACCOUNT: -

Company shall re-enable the online access of trading account after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

6. CLARIFICATION FOR CLIENTS:

- Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of company.
- The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the records of respective Exchanges.

7. RECORD MANAGEMENT:

- Company shall maintain a verifiable record of communication of this policy to all existing clients and obtain a confirmation of providing a copy of this policy from all new on boarded clients with effect from July 1, 2024
- Company shall maintain a verifiable record of all such requests received for freezing/ blocking of online access to trading account received from clients as per record management guidelines prescribed by the exchanges/regulator.

8. REPORTING OF FREEZING / BLOCKING OF THE ONLINE ACCESS OF THE CLIENTS TRADING ACCOUNT:

- The data relating to freezing / blocking of the online access of the clients trading account shall be reported as per compliance requirement prescribed by SEBI / Exchanges, if any.

	First /Sole holder	**Second holder**	**Third Holder**
Signature			

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

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

Manner of Closure of Demat account

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

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

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

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

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

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. "The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority."

Redressal of Investor grievance

26. 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

27. 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

28. 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.
29. 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.
30. 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.
31. 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
32. 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.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

To,

HPMG SHARES & SECURITIES PRIVATE LIMITED
Registered / Corporate Office: B-201/202, Raj Kamal,
Next to Shreeji Arcade, S. V. Road, Kandivali West
Mumbai - 400 067.
Tel.: 022-6231 7600 Fax: 6231 7689

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

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

1. For registration as your client/upon registration, I/We have received a photocopy of the duly completed documents viz. Client Registration Kit (KYC) including do's and don'ts. Rights and obligation (Trading & Demat), Risk Closure document, Guidance note, do's & don'ts, policies and procedures, POA and also a copy of any other document executed by me/us as your client.

2. Further, the trading code/client ID and the unique client code allotted to me/us as your client and the Email ID furnished by me/us has been communicated by you to me/us through KYC form or otherwise in writing.

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

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

DEMAT DEBIT AND PLEDGE INSTRUCTIONS (DDPI)

TO ALL TO WHOM THESE PRESENTS SHALL COME I/WE MR./MRS./M/S.

(First Holder)		
(Jointly with Second Holder)		
(Third Holder)		

Having his/her/its residence/registered office/place of business at

_____

_____:

Whereas I/ we hold Beneficial Owner Account Number **12069200** – _____ with Central Depository Services (India) Limited (CDSL), through **M/S HPMG SHARES AND SECURITIES PVT LTD**. registered with Securities and Exchange Board of India (SEBI) having its Registered office address at **Office no. 201,202 RAJ KAMAL, NEXT TO SHREEJI ARCADE, S.V. ROAD, KANDIVALI –WEST, MUMBAI – 400067** (hereinafter referred to as the "Stock Broker").

And Whereas I/ we am/ are desirous to buy and sell securities through the Stock Broker, who is a stock broker registered with SEBI bearing Registration No **INZ000187530** and member of National Stock Exchange of India Ltd Code: 13002, BSE Ltd Clg. No. 6118

I/We, the Account Holder/ Joint Account Holders do hereby give the following Instructions to **M/S HPMG SHARES AND SECURITIES PVT LTD**. as follows:

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

I/We further agree and confirm that the powers and authorities conferred by this DDPI shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorized in this regard by the Stock Broker in its office at **Office no. 201, 202 RAJ KAMAL, NEXT TO SHREEJI ARCADE, S.V. ROAD, KANDIVALI –WEST, MUMBAI – 400067**. However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

List of the Stock Broker Designated Demat Account:
(An updated shall also be available on our website from time to time)

SR. NO.	NAME OF THE ACCOUNT HOLDER	DEMAT A/C NO.	CM BP ID	CM ID	DP NAME	PURPOSE
1	HPMG SHARES AND SECURITIES PVT LTD	1206920000043122	-	-	HPMG SHARES AND SECURITIES PVT LTD	CORPORATE CM/TM CLIENT MARGIN PLEDGE ACCOUNT
2	HPMG SHARES AND SECURITIES PVT LTD	-	IN565748	-	AXIS BANK LIMITED	NSE NSDL POOL A/C
3	HPMG SHARES AND SECURITIES PVT LTD	-	IN661181	-	AXIS BANK LIMITED	BSE NSDL POOL A/C
4	HPMG SHARES AND SECURITIES PVT LTD	1206920000000012	-	-	HPMG SHARES AND SECURITIES PVT LTD	BSE CDSL-POOL A/C
5	HPMG SHARES AND SECURITIES PVT LTD	1206920000000124	-	-	HPMG SHARES AND SECURITIES PVT LTD	NSE CDSL-POOL A/C
6	HPMG SHARES AND SECURITIES PVT LTD	1206920000061338	-	-	HPMG SHARES AND SECURITIES PVT LTD	CLIENT SECURITIES MARGIN FUNDING ACCOUNT
7	HPMG SHARES AND SECURITIES PVT LTD	1206920000061682	-	-	HPMG SHARES AND SECURITIES PVT LTD	CORPORATE –TM/CM CMPA

Dated this _____day of _____20_____

SIGNED AND DELIVERED BY the within named Beneficial Owner

	First Holder	Second Joint Holder	Third Joint Holder
Name			
Specimen Signature			

In the presence of	Witness 1	Witness 2
Name & Address		
Witness Signature		

We Accept

For HPMG SHARES AND SECURITIES PVT LTD.

Director / Authorized Signatory.

If HUF, Co-parceners Signature:
1) X

----
2) X

----
3) X

----
4) X

----
5) X
