

CLIENT REGISTRATION FORM

M.S.N.

BO NAME							
BO ID							
TRADING CODE							
BRANCH							
BO AC OPEN DATE							
CKYC NO							
KRA STATUS	DONE/PENDING/PROCESS			DATE			
POA/DDPI DATE	YES/NO			DATE			

M.S.N. SECURITIES PVT. LTD.

M.S.N. SECURITIES PRIVATE LIMITED

M.S.N. SECURITIES PRIVATE LIMITED

Regd. Off.: 108, Veena Chambers, Dalal Street, Fort, Mumbai 400 001
Tel. : 022-66356300 , 022-22703502 . Fax : 022- 22703503
Website : msnsecurities.com

M E M B E R

NATIONAL STOCK EXCHANGE OF INDIA LTD. (MEMBER CODE : 12771)
(CAPITAL MARKET SEGMENT, DERIVATIVE SEGMENT)

BOMBAY STOCK EXCHANGE LTD. (MEMBER CODE : 3239)
(CAPITAL MARKET SEGMENT)

SEBI REGISTRATION NO. : INZ000230036

CDSL REGISTRATION NO. : IN-DP-592-2021 (DP ID : 93300)

CEO Name : Mehrab S.Nargolwala Phone no. : 9821111748
Email id : mehrab@msnsecurities.com

Compliance Officer Name : Mrs. Mukta N.Patil Phone no. : 9867198522
Email id : mukta@msnsecurities.com

For any grievance/dispute please contact stock broker M.S.N SECURITIES PVT. LTD.
at the above address or email id's

For Trading - nilesh@msnsecurities.com

For DP - compliance@msnsecurities.com

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

BSE : is@bseindia.com and Phone No. 022-2272 8097

NSE : ignse@nse.co.in and Phone No. 1800-22-0058

CDSL : compliant@cdslindia.com and Phone No: 022-2272 3333

SEBI SCORES : <https://scores.gov.in/scores/Welcome.html> and Phone No 1800 266 7575

Correspondence Off.: 108, Veena Chambers, 21 Dalal Street, Fort,
Mumbai 400 001 Tel.: 022-66356300 Fax : 022- 22703503

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INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Copies of all the documents submitted by the applicant should be self – attested and accompanied by originals for verification. In case the original of any documents is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
2. If any proof of identity or address is in a foreign language, then translation into English is required.
3. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
4. If correspondence & permanent address are different, then proofs for both have to be submitted.
5. Sole proprietor must make the application in his individual name & capacity.
6. For non-residents and foreign nationals, (allowed to trade subject to RBI and FA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
7. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
8. 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.
9. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g. Heads of States or of Governments, senior politicians, senior Government / judicial/military/officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI):- List of documents

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

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

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

D. Exemptions/ Clarification to PAN

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

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

E. List people authorized to attest the documents:

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

ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS - ILLUSTRATIVE LIST

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

1. Copy of ITR Acknowledgement
2. Copy of Annual Accounts
3. In case of Salary Income – Salary Slip, Copy of Form 16
4. Net worth Certificate
5. Copy of demat account holding statement.
5. Bank account statement for last 6 months
6. Photocopy of the canceled cheque having the name of the account holder where the cheque book is issued, (or)
7. Photocopy of the Bank Statement having name and address of the BO
8. Photocopy of the Passbook having name and address of the BO, (or)
9. Letter from the Bank.
10. Self-declaration with relevant supporting documents.
11. Any other relevant documents substantiating ownership of Assets.
In case of options 7, 8, 9 and 10 above, MICR and IFSC code of the branch should be present / mentioned on the document.

DEMAT MASTER OR RECENT HOLDING STATEMENT ISSUED BY DP BEARING NAME OF THE CLIENTS

For individuals:

1. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ Authorised Person's office.
2. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

For non-individuals:

1. Form needs to be initialized by all the authorized signatory.
2. Copy of Board Resolution as declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures

INSTRUCTIONS TO THE APPLICANTS (BOs) FOR ACCOUNT OPENING

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/ Special Executive Officer under his/her officials
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first/ sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

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* - -

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 Categorized

PHOTO

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

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

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

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

A- Passport Number Passport Expiry Date - -

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date - -

E- UID (Aadhaar)

F- NREGA Job Card Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)
 Voter Identity Card NREGA Job Card Others

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*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> 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)

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

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

DATE: PLACE: Signature / Thumb Impression of Applica

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received	Certified Copies		
KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS	
Date			
Emp. Name			
Emp. Code			
Emp. Designation			
Emp. Branch			

Know Your Client (KYC)
Application Form (For Individuals Only)



CDSL VENTURES LIMITED

...Exploring New Horizons

Intermediary
Logo

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: _____

Application Type*: New KYC Modification KYC

KYC Mode*: Please Tick (✓)

Normal EKYC OTP EKYC Biometric Online KYC Offline EKYC Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name+ (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* Male Female Transgender

Marital Status* Single Married

Nationality* Indian Other _____

Residential Status* Resident Individual Non Resident Indian

Please Tick (✓) Foreign National Person of Indian Origin+

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

Recent passport size
Applicant Photo

Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX ____ (Expiry Date) _____

B — Passport Number _____ (Expiry Date) _____

C — Voter ID Card _____ (Expiry Date) _____

D — Driving License _____

E — NREGA Job Card _____

F — NPR _____

Z — Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ District+ _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line3 _____

City/
Town/Village* _____ District⁺ _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business Residential Business Registered Office Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX ____ _

B — Passport Number _____ (Expiry Date) _____

C — Voter ID Card _____

D — Driving License _____ (Expiry Date) _____

E — NREGA Job Card _____

F — NPR Letter _____

Z—Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details (in CAPITAL)

Email ID* _____

Mobile No. * _____

Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

<p>I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.</p> <p>I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.</p> <p>DATE: _____ (DD-MM-YYYY)</p> <p>PLACE: _____</p>	Applicant e-SIGN	Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
<p>IPV Date _____</p> <p>Emp. Name _____</p> <p>Emp. Code _____</p> <p>Emp. Designation _____</p>	<p><input type="checkbox"/> Self certified document copies received (OVD)</p> <p><input type="checkbox"/> True Copies of documents received (Attested)</p> <p>AMC / Intermediary Name :</p> <p>_____</p>
Employee Signature and Stamp	Institution Name and Stamp

Additional KYC Form for Opening a Demat Account

For Individuals

M.S.N. SECURITIES PRIVATE LIMITED

Depository Participant : DP -CDSL. DP – ID -12093300

SEBI REGISTRATION NO. : IN-DP-592-2021S

Regd. Off.: 108, Veena Chambers, Dalal Street, Fort, Mumbai 400 001

Tel. : 022-66356300 , 022-22703502 . Fax : 022- 22703503 Website : msnsecurities.com

(To be filled by the Depository Participant)

Application No.		Date																
DP Internal Reference No.			UCC															
DP ID	1	2	0	9	3	3	0	0	Client ID									

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

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

Type of Account (Please tick whichever is applicable)

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

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

Guardian's Name				PAN	
Relationship with the applicant					
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')					[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')					<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly				
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID					<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA					<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both				
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]					<input type="checkbox"/> Yes <input type="checkbox"/> No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)									IFSC Code											
Account number																				
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> 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 First Holder												
Gross Annual Income Details	Income Range per annum:											
	<input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000											
	Net worth as on (Date)					D	D	M	M	Y	Y	Rs
[Net worth should not be older than 1 year]												
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____											
Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)												
Any other information:												

Other Details Second Holder										
Gross Annual Income Details	Income Range per annum:									
	<input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> 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	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify)									
Please tick , if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)									
Any other information:										
Other Details Third Holder										
Gross Annual Income Details	Income Range per annum:									
	<input type="checkbox"/> Up to Rs.1,00,000 <input checked="" type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> 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	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify)									
Please tick , if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> 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).									
Transactions Using Secured Texting Facility (trust) refer to Term and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions Prescribed by CDSL for Same <input type="checkbox"/> YES <input type="checkbox"/> NO I/ We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST									
	Stock Exchange Name / ID	Clearing Member Name			Clearing Member ID (Optional)					
Easi	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.									

Declaration

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	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

(Signatures should be preferably in blue ink).

Declaration – Authority Letter for Activation of same E-mail ID or some mobile number for multiple Clients

Please refer to the Trading/DP accounts opened with you, for purpose of dealing in NSE/BSE/MCX/CDSL. We all belong to

Me or My Family member (Spouse, dependent children & dependent parents) or having common director.

COMMON EMAIL ID _____

MOBILE NUMBER _____

Client ID/Code	Name	Relationship

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

AADHAAR AUTHENTICATION CONSENT

I/We hereby state that I/We have no objection in authentication myself/ourselves with Aadhaar based Authentication system through CDSL Ventures Limited and give my/our consent to provide my Aadhaar Number, OTP, Demographic details or Biometric for Aadhaar based authentication . I/We also authorize CDSL Venture Limited to share the authentication details with **M.S.N Securities Pvt Ltd.** for the purpose of carrying Aadhaar authentication as required by PMLA guidelines, which shall not be further shared.

Also I hereby consent to use my Aadhaar as mu proof of identity and address proof for opening demat account with **M.S.N Securities Pvt Ltd** Who’s registered depository participant with CDSL.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

TRADING AND DEMAT ACCOUNT RELATED DETAILS

SECTION A (PRIMARY BANKING ACCOUNT (DIVIDEND BANK DETAILS))

	Name of Bank & Branch Address	Account No.	Account Type	IFSC CODE	MICR code
Primary					

SECTION B (PRIMARY DEPOSITORY ACCOUNT(S) DETAILS)

	Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
Primary					

SECTION C (TRADING PREFERENCES)

Dear Sir/Madam,

I/We request you to register me/us as your client and enable me/us to trade in the cash, derivatives segments pursuant to the Agreement entered into with you. I/We have read the Rules, Byelaws and Regulations of the Exchanges pertaining to the cash, derivatives segments and agree to abide by them. In this regard, I/We voluntarily give the following information :

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

SEGMENT	TICK AS PER PREFERENCE	SIGNATURE (only First Holder)
BSE CASH	<input type="checkbox"/> YES <input type="checkbox"/> NO	☺
NSE CASH	<input type="checkbox"/> YES <input type="checkbox"/> NO	☺
NSE F&O	<input type="checkbox"/> YES <input type="checkbox"/> NO	☺

SECTION D (PAST ACTIONS)	
Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/constituent or its Partners/ promoters/ whole time directors/ authorized persons in charge of dealing in securities during the last 3 years.	
SECTION E (DEALINGS THROUGH AUTHORIZED PERSON)	
If client is dealing through any other member, please provide the following details (in case dealing with multiple members, provide details of all in a separate sheet containing all the information as mentioned below)	
AUTHORIZED PERSON NAME:	EXCHANGE REGISTRATION NUMBER :
REGISTERED OFFICE ADDRESS:	
STATE:	COUNTRY:
EMAIL ADDRESS:	TELEPHONE:
SIGNATURE :	
Whether dealing with any other stock broker/Authorised person (if case dealing with multiple stock brokers/Authorised person provide details of all)	
Name of Stock Broker	Name of Authorised person, if any
Client Code :	Exchange :
Details of disputes / dues pending from/to such stock broker/Authorised person	
SECTION F (ADDITIONAL DETAILS)	
<ul style="list-style-type: none"> ➤ Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): Yes / No If applicable specify your Email id : _____ ➤ I/We would like to receive Statement of Account / Transaction-cum-Holding Statement / Daily Margin Statement and All Other Statement at my registered email ID ➤ SMS Alert Facility On registered Mobile Number (Mandatory if you are giving Power Of Attorney (POA). Ensure that the mobile number is provided in the KYC application form Mobile Number: ➤ SMS Alert Facility : Yes / No Mobile No : _____ and / or Email Alert Facility : Yes / No Email address : _____ ➤ Whether you wish to avail of the facility of Internet trading/ Wireless technology : Yes / No (Only for NSE) ➤ I/We would like to receive client copy of containing following. <ul style="list-style-type: none"> ◆ Rights and Obligations of Stock Rights and Obligations of Stock Brokers, /AP /Aps and Clients as prescribed by SEBI and Exchanges 	


- ◆ Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
- ◆ Risk disclosure Document for Capital, Currency, Stock and Commodity Derivatives Segment
- ◆ Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
- ◆ Policies and Procedures applicable to clients. (OPTIONS *PHYSICAL OR ELECTRONIC

➤ I/We undersigned hereby declare that I/We have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in the defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above-mentioned information is provided by me and is true and correct.

CLIENT NAME : _____ PAN : _____

➤ Number of years of Investment / Trading Experience : _____

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

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

SECTION G	(INTRODUCER DETAILS)
NAME OF THE INTRODUCER :	
INTRODUCER'S ADDRESS :	
INTRODUCER'S PHONE NUMBER:	
INTRODUCER'S STATUS <input type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> REMISIER <input type="radio"/> STAFF <input type="radio"/> OTHERS	
INTRODUCER'S SIGNATURE:	

UCC Code allotted to the Client : _____

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

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

For M.S.N. Securities Pvt. Ltd.

Signature of the Authorized Signatory

Seal/Stamp of the stock broker

Date : _____.

Nomination Form

Annexure A

To,
M.S.N SECURITIES PVT LTD
108 VEENA CHAMBERS, DALAL STREET, FORT, MUMBAI 400001
 Dear Sir/ Madam,

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

Date	D	D	M	M	Y	Y	Y	Y	DP ID						Client ID					
I/We wish to make a nomination. [As per details given below]														UCC :						
Nomination Details																				
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																				
Nomination can be made upto three nominees in the account.										Details of 1st Nominee					Details of 2nd Nominee			Details of 3rd Nominee		
Mandatory Details																				
1	Name of the nominee(s) (Mr./Ms.)																			
2	Share of each Nominee		Equally [If not equally, please specify percentage]		%					%			%							
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.																	
3	Relationship With the Applicant (If Any)																			
Date of Birth and Name of Guardian to be provided in case of minor nominee(s)																				
Non-mandatory Details																				
4	Address of Nominee(s)/ Guardian in case of Mino																			
			City / Place: State & Country:																	
			PIN Code																	
5	Mobile / Telephone No. of nominee(s)/ Guardian in case of Minor																			
6	Email ID of nominee(s)/ Guardian in case of Minor																			

7	Nominee/Guardian (in case of Minor) Identification details – [Please tick any one of following and provide details of same] <ul style="list-style-type: none"> <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID 			
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	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

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

Nomination Form accepted and registered wide Registration No. _____ dated _____

===== (Please Tear here) =====

Acknowledgement Receipt

Received nomination from :

DP ID					Client ID															
Name																				
Address																				
Nomination in favor of																				
First - Nominee																				
Second - Nominee																				
Third - Nominee																				
No Nomination	<input type="checkbox"/> Would like to opt out nomination.																			
Registration No.							Registered on	D	D	M	M	Y	Y	Y	Y					

For M. S. N. Securities Pvt. Ltd.
(Authorised Signatory)

Nomination Form

Annexure B

To,
M.S.N SECURITIES PVT LTD
 108 VEENA CHAMBERS, DALAL STREET, FORT, MUMBAI 400001

Dear Sir/ Madam,

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

UCC									
DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ 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 MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

Nomination Form accepted and registered with Registration No. _____ dated _____

===== (Please Tear here) =====

Acknowledgement Receipt

Received nomination from :

<u>DP ID</u>										<u>Client ID</u>										
<u>Name</u>																				
<u>Address</u>																				
<u>No Nomination</u>	<input type="checkbox"/> <u>Would like to opt out nomination.</u>																			
<u>Registration No.</u>								<u>Registered on</u>	D	D	M	M	Y	Y	Y	Y				

For M. S. N. Securities Pvt. Ltd.
 (Authorised Signatory)

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Code & Name				
		First Holder	Second Holder	Third Holder
1	Are you Indian Resident Person? (Refer Risk Disclosure document At www.mnclgroup.com)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Specify country of residence for tax purpose (if above clause is no)			
3	Specify Tax Identification No./ Others			
<p>Note: if you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self-certification under FATCA / CRS.</p>				

Declaration / Self-certification

- I understand that M/s M.S.N. Securities Pvt. Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. M/s M.S.N. Securities Pvt. Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I shall seek advice from professional tax advisor for any tax questions.
- I agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I agree that as may be required by domestic regulators/tax authorities the M/s M.S.N. Securities Pvt. Ltd. may also be required to report, reportable details to CBDT or close or suspend my account.
- I certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct and complete.

ONLY FOR NRI CLIENTS

Fema Declaration by NRI Clients

To,
M.S.N SECURITIES PVT LTD
108 VEENA CHAMBERS, DALAL STREET, FORT, MUMBAI 400001

Sub: Declarations

Dear Sir,

I the undersigned Mr. / Ms. / Mrs. _____
would like to inform you that I have complied with, and will continue to comply with, FEMA regulations and other applicable laws as prescribed from time to time.

Thanking You

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

FATCA/ CRS declaration for Individuals

Details of individuals including additional FATCA & CRS information	
--	--

1	Name	
2	Customer ID	
3	Address of tax residence <i>(including city, state, country and pin code)</i>	
4	Address Type	<i>(Residential or Business or Registered Office)</i>
5	Gender	
6	Nationality	
7	Place of Birth	
8	Country of Birth	
9	Birth Date	<i>(in DD/MM/YYYY format)</i>
10	PAN Identification Type	
11	(Documents submitted as proof of individual of the individual) ¹	
12	Aadhaar Number	
13	Father's Name	
14	Spouse's Name	
15	Telephone/mobile number with ISD code	
16	Occupation Type (Business, Service or Others)	

Please tick the applicable tax resident declaration: **(Any one)**

- Individual is a tax resident of India and not resident of any other country **OR**
- Individual is a tax resident of the country/ies mentioned in the table below

Please indicate the country/ies in which the individual is a resident for tax purposes and the associated Tax ID Number below:

Country of Residence ²	Tax Identification Number	Identification Type (TIN or Other ³ , please specify)

Signature of applicant ☺ _____

1 Passport, Election ID card, PAN Card, ID Card, Driving License, UIDAI Letter, NREGA Job card, Other
 2 To include US, where individual is a US citizen or green card holder
 3 In case Tax Identification Number is not available, kindly provide functional equivalent

FATCA & CRS TERMS AND CONDITIONS - FOR INDIVIDUAL

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the folio(s) or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case investor has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, investor to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: <ol style="list-style-type: none"> a. Certified Copy of "Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)
Telephone number in a country other than India	<p>If no Indian telephone number is provided</p> <ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below) <p>If Indian telephone number is provided along with a foreign country telephone number</p> <ol style="list-style-type: none"> 1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR 2. Documentary evidence (refer list below)s
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol style="list-style-type: none"> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
 2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)
- * Government or agency there for a municipality of the country or territory in which the payee claims to be a resident.

M.S.N. SECURITIES PVT. LTD.

108, Veena Chambers, 21 Dalal Street, Fort, Mumbai – 4000 001.

Tariff Sheet

A) Applicable brokerage rate:

For NSE / BSE Capital Market

Delivery based trades : _____ % Min _____ % paise per share

Intra Day trades : _____ % Min _____ % paise per share *

*Intra day - Both sides / One side applicable

For NSE Derivative Segment (Futures)

Intra Day trades : _____ % Min _____ % paise per share *

*Intra day - Both sides / One side applicable

For NSE Derivative Segment (Option) : Rs. _____ Per Lot


Statutory levies and transaction charges levied by the exchanges would be recovered separately. In case of reduction in brokerage rates, no approval of the client would be required. (Brokerages will not exceed 2.5 % as stipulated by SEBI.)

B) Imposition of Penalty for delayed payment charges by either party

Member will apply interest / late payment charges at the rate of ____% p.a. on all outstanding obligations subject to settlement schedules on a daily basis.

Member will pay interest at the rate of ____% p.a. to the client only in case of delay in payment from members end. The client agrees that he will not be liable to claim any interest on credit balances in his account if he has given consent to retain credit balances in his/her/its account.

In case client/s has / have given consent to maintain running account, the client/s would be required to give Specific written request to release the credit balance/funds in his/her/its trading account/s.

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

TARIFF FOR CDSL ACCOUNT

SI. No.	PARTICULARS	INDIVIDUAL / HUF / CORPORATE	
		<input type="checkbox"/> TRADER	<input type="checkbox"/> INVESTOR
1	Account opening	NIL	NIL
	POA Franking Charges	Rs. 510/-	Rs. 510/-
2	Annual Maintenance	Rs. 400/-	Rs. 800/-
Transaction Charges			
1	Transaction (On Market - Off Market / Inter depository)	Rs. 15/-	Rs. 25/-
2	Dematerialisation	Rs. 50/- Plus 5/- per Certificate (Postage Charges 100/- Extra)	Rs. 50/- Plus 5/- per Certificate (Postage Charges 100/- Extra)
3	Rematerialisation	Rs. 50/- Plus 5/- per Certificate (Postage Charges 100/- Extra)	Rs. 50/- Plus 5/- per Certificate (Postage Charges 100/- Extra)
4	Instruction Booklet	Rs. 25/- for 10 Leaves (Postage Charges 50/- Extra)	Rs. 25/- for 10 Leaves (Postage Charges 50/- Extra)
4	Pledge Creation / Closure / Invocation	Rs. 35/- Per Transaction	Rs. 35/- Per Transaction
I/we wish to avail BSDA facility for the new account		<input type="checkbox"/> YES	<input type="checkbox"/> NO

N. B. :

- Gst and any other government levies extra as applicable from time to time.
- Any other services not specified above shall be charged extra.
- Charges / Services standards are subject to revision at Depository participants discretion after giving 30 days notice.
- Amount charged by CDSL for CAS will be charge extra.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

MANDATORY

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSON AND CLIENTS as prescribed by SEBI and Stock Exchanges


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

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 Authorised Person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

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 there under 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 there under.

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 favour 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).

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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 there under as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

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

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

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

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

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

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

ELECTRONIC CONTRACT NOTES (ECN)

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

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

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

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

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

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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, Authorised Person and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued there under 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 there under 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.

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

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

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

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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:-

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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.

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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.

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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.

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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.

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MANDATORY
GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of Authorised Person. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

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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/Authorised Person then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/Authorised Persons have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE	☺	PLACE:

Policies and Procedures related to Risk Management & Controls

(Mandatory Document)

a) Policy for Penny Stock

A stock that trades at a relatively low price or may have low market capitalization or which is specified under the illiquid list released by the exchanges from time to time will be considered as Penny Stock. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads & small capitalization. Depending on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only

b) Exposure Limits

Exposure limits for the trading will be based on financial ledger balances (credits) of all NSE Cash, NSE F&O, BSE Cash, and stocks (with applicable hair cut on values). Exposure limit multiples are subject to change and may vary depending on prevailing market conditions, client's profile or other factors. The member can alter / change it with or without intimation to Clients at its sole discretion.

c) Brokerage


The member can charge 2.5% maximum brokerage of the trade value. The brokerage will be charged within the prescribed limit i.e. not more than 2.5% of the trade value exclusive of statutory levies and inclusive of authorised personage. In F&O Segment brokerage on options will be charged on Trading Premium amount @ 2.5% of Premium amount OR Rs. 100/- per contract, whichever is higher. However the broker has the right to change lower brokerage if felt necessary.

d) Imposition of Penalty / Delayed Payment and Other Charges.

Penalty / Delayed payment and other charges levied by the Exchanges pertaining to the trading of the client would be recovered from the client. Any amounts overdue from the client towards trading and investment in any segments of any Exchanges, maybe charged with delayed payment charges at a rate not more than 1.75% per month or part thereof or at such rates as mutually decided between the Broker and the Client. The broker will recover the penalty / delayed payment charges / other charges directly by debiting the account of the Client on daily basis or at the end of each month or at the end of any period as may be decided by the Broker. Also any amount due from the Client (including the other charges) shall be offset against the dues owed by the Stock Broker to the Client. No interest or charges will be paid by the Stock Broker to the client in respect of retention of funds and securities to meet future settlement obligations or running account maintenance.

e) Right to sell shares and close positions

The member shall be entitled to liquidate / close out all or any of the Client's position including any collateral for non payment of margin or other amounts, outstanding debt etc. and adjust the proceeds of such liquidation/ close out, if any, against the Client's liabilities/ obligations. The member reserves the right to decide upon the threshold limits for liquidation of Clients positions. The Client understands and agrees to M.S.N. Securities Pvt. Ltd. communicating such threshold limits periodically, orally, and / or through emails, written correspondences through its trading terminals, branch representative, website, etc. However, in the event of extreme volatility and / or Client's open (outstanding) position resulting in marked to market losses beyond member's thresholds any time during a trading session, and /or Clients positions or collateral being unsalable, thereby forcing The member to liquidate any of the Client's available positions and collateral, same shall be done by member during the course of a trading session without recourse to the Client.

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

f) Internal netting of Trades

Member has the right to allocate securities / credits among the Client and other Clients of member in a manner and form that the member deems fit. Where the member has a net purchase obligation with the exchange but receives short delivery from the exchange or the exchange is able to deliver only in part after the auction settlement or is settled by close out as per exchange rules, the same should be passed on to the client, as the case may be. In the event of the selling Client is unable to deliver securities against his / her / their sale obligation, the member shall inform the exchange relating to the short fall for further action by the exchange or MSN shall endeavor to collect the securities from the selling clients and deliver it to the purchasing client or MSN shall attempt to purchase the security from the market and deliver it to the purchasing client. The purchase cost as well as all the incidental charges shall be debited to the account of the defaulting client. If

MSN is not able to procure the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and debited to the selling client.

g) Conditions under which a client may not be allowed to take further position or the broker may close existing position.

The Stock Broker shall have the absolute discretion and authority to reduce the volume of business of the Client or to close existing positions of the client without any prior notice to the client in such conditions as:

- 1) The volatility in the market or particular scrip or Derivatives value.
- 2) In view of impending price sensitive announcements or insider trading restrictions on the Client.
- 3) Any restrictions in relation to volume of trading outstanding positions of contracts or Margins or Penalties or Orders as imposed by the Exchanges or Regulators or the member.
- 4) Political instability in the Country.
- 5) Failure by the client to maintain the applicable collateral/margin and/or delay by the client in meeting his / her obligations / dues relating to the business / dealings done under Client Broker Agreement or pursuant to other agreements and authorizations between the client and broker.
- 6) Unforeseen adverse market conditions and natural calamities affecting the working of the markets.
- 7) Illegal trade practices undertaken by the client or money laundering activities seen in client's dealings.

The above restrictions specified are only illustrative and does not restrict the broker to add any additional instances that may be required to be added considering the market situations.

h) Temporarily suspension or closing of account on Client's request.

For following conditions, Client's account will be temporarily suspended and will be re-activated on written request by the Client.

- i) On receipt of a written request from the Client.
- ii) Account has been inoperative for a period of 6 months.
- iii) Discrepancies found by surveillance department
- iv) On account of non-compliance of any requirement
- v) Any grievance raised by / against the Client

Additionally the account of the Client will be closed on receipt of a written request from the client.


i) Deregistering a Client

- i) On a written request from the client
- ii) SEBI debarred entities / debarred by any other authorities.
- iii) Any regulatory action taken against Client after entering in agreement with member

Consent for receiving Electronic Documents – Beneficiary Owner Account

j) Proprietary Trading

The member discloses herewith that it undertakes proprietary trading in addition to client business.

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

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.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

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

Statement of Account

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

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

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

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

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no Page 3 of 4 charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

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

Default in payment of charges

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

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

Liability of the Depository

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

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

Freezing/ Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye- laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once

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

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

M.S.N. SECURITIES PVT. LTD.

108, Veena Chambers, 21 Dalal Street, Fort, Mumbai – 4000 001.

To,

Client Name : _____ **Client Code :-** _____

Address : _____

Dear Sir,

Sub :- Consent regarding Monthly / Quarterly Settlement.

In accordance with Exchange Circular dated Dec 03, 2009 NSE/INSP/13606 and Exchange Circular dated Feb 03, 2010 NSE/INSP/14048, we seek your consent for settlement of your account including securities account once in every month or quarter

Monthly Quarterly

You are requested to opt either of the above options by ticking the relevant box and signing against that, so that we can settle your account likewise.

You may at any time revoke / change your option selected above.

Thanking you,

Yours faithfully,

For M.S.N. Securities Pvt. Ltd.

Mehrab S. Nargolwala
Chairman & Managing Director
Confirming above

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE	☺	PLACE:

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date																			
------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

DP ID										Client ID									
First Holder Name																			
Second Holder Name																			
Third Holder Name																			

To,
M.S.N SECURITIES PVT LTD
108 VEENA CHAMBERS, DALAL STREET, FORT, MUMBAI 400001

Dear Sir / Madam,

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

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with **M.S.N SECURITIES PVT LTD** (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such \$Power of Attorney holder -Clearing Member / by

Yours faithfully

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

OR

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ registered for eDIS / executed PMS agreement in favour of / with **M.S.N SECURITIES PVT LTD** (name of the attorney / Clearing Member / PMS manager) 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 through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

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

Acknowledgement Receipt

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

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

Depository Participant Seal and Signature

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

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.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

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(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

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

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)

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

Place : _____

Date : _____

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

1) Definitions:

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

“Depository” means Central Depository Services (India) Limited (CDSL)

- i. TRUST means “Transactions Using Secured Texting” service offered by the Depository.
 - ii. “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.
 - iii. “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.
 - iv. “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 DP to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slip to the DP.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

- 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

BOID

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

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

Additional clauses with respect to smooth functioning VOLUNTARY

- 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.
- 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.
- 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.
- 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.
- 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).
- You will get a contract note from the stock broker within 24 hours of the trade.
- 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.
- 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.
- 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.
- 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
NAME			
SIGNATURE	☺	☺	☺

Do's:

- Register for CDSL's internet-based facility 'easi' to monitor your demat account yourself. Contact your DP for details.
- Register for CDSL's FAAlert facility - SMART and obtain alerts for any debits or credits due to a corporate action, in your demat account
- Accept the DIS book from your DP only if each slip has been pre-printed with a serial number along with your demat account number and keep it in safe custody.
- Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker.
- Ensure that all demat account holder(s) sign on the DIS.
- Please strike out the any blank space on the slip.
- Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s).
- Submit the DIS ahead of the delivery date for all type of market transactions. DIS can be issued with a future execution date.
- Intimate any change of address or change in bank account details to your DP immediately.
- Check the investor service record of the issuer company with your DP before deciding to send certificates for demat. The list of companies whose demat request are pending is published at www.cdslindia.com.
- Before sending securities for demat, record the distinctive numbers of the securities sent.
- Before granting Power of Attorney (PoA) to anyone, to operate your demat account, carefully examine the scope & implications of powers being granted.
- PoA is not mandatory for opening a demat account.
- The demat account has a nomination facility and it is advisable to appoint a nominee, in case of sole account holders.
- Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions and once a quarter if there have been no transactions in your account.
- Check your demat account statement on receipt. In case you notice any unauthorized debits or credits, Contact your DP for clarification. If not resolved The BO may send an email: compliance@cdslindia.com

Don'ts:

- Do not leave your instruction slip book with anyone else.
- Do not sign blank DIS as it is equivalent to a bearer cheque.
- Avoid over-writing, cancellations, misspellings, changing of the name and quantity of securities.
- We request you to meticulously follow the above instructions, to avoid any problem in operation of your demat account.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺

NOTICE TO INVESTORS

Please note that this is a stock broking company and we deal only in securities and not into any other business.

Please note we do not indulge into any lending and borrowing of funds or securities nor have we authorized anybody to do so on our behalf.

Please do not get lured by any bogus commitments such as fixed returns, no brokerage.

Please do not authorize anybody to trade on your behalf.

Please do not share your passwords with anybody including our employees /sub broker.


Please confirm your trades on a daily basis and inform the managing director of any discrepancy immediately.

Please do not hesitate to get in touch with the head office in case your query is not resolved by the Authorised Person in two days.

Please stop trading immediately once you have a feeling that there is certain irregularity in your account.

Please do not issue any cheques in any other name except "**M.S.N.SECURITIES PVT.LTD.**"

Please note ,in case of a communication link failure for securities trading using wireless technology , clients can call on the above telephone nos. for placing orders manually

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

To,
M. S. N. Securities Pvt. Ltd.,
108, Veena Chambers,
21 Dalal Street, Fort,
Mumbai 400001

Dear Sir,

Client Name : _____ UCC Code No. _____


Ref : Authority letter for adjustment of funds and shares across all segments

Pursuant to completion of registration formalities you have allocated the above said client code to me / us and we wish to commence trading on BSE and NSE on selected segments.

I/We hereby wilfully and unconditionally issue following standing instructions with references to personal discussion between us for my/our operational convenience.

1. I / we will make payments to you for bills raised by you. I / we am / are agreeable for maintaining running account and instruct you that no Cheque / Shares be issued to me / us towards credit balance in my/our account, unless specifically demanded by me / us and only to the extent of amount demanded by me / us.
2. I / we am/are agreeable that the credit balance of funds and shares be treated as margin for selected segments.
3. I / we am / are agreeable for transfer of credit balances in margin account / client account of cash segment towards adjustment debit balance in margin account /client account of derivatives segment and vice versa.
4. I / we am / are agreeable for transfer of credit balances in margin account /client account of cash and derivatives segment of (BSE) against debit balance in margin account /client account of cash and derivatives segment of (NSE) and vice versa.
5. I / we am / are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities in the future /past settlements.
6. I / we am / are agreeable for and authorize you to withhold funds pay-out towards all the applicable margins and debits.
7. As regards the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me / us in complying the same, I / We would request you to accept orders placed orally on telephone.
8. I/We am/are aware that the above mentioned points are voluntary and I/We have an authority to set aside or revoke any of them whenever I want to. These standing instructions are valid from the date the account is opened and will be valid until revoked.

Thanking You,
Yours faithfully,

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

M.S.N. SECURITIES PRIVATE LIMITED.
108, Veena Chambers,
21 – Dalal Street, Fort,
Mumbai – 400 001

Sub :- **Digital Contract Notes / Account Statements**

You have allocated the above said unique client code to me/us. I/We refer to the facility of receiving the contracts notes and other statements in digital mode and as such I have now created email ids as provided below.

I/We agree to receive contract notes of our dealings in Cash and F&O segments by way of digital contract notes only through email from _____ in accordance with the SEBI circular SMDRP/POLICY/CIR-56/00 dated December 15, 2000. I/We also authorize the member to stop issuing physical copies of contracts unless required by me / us and if deemed suitable to the member.

AND / OR

I/We agree to receive other statements including quarterly statements by way of digital mode. I/We also authorize the member to stop issuing physical copies of other statements including quarterly statements unless required by me / us and if deemed suitable to the member.

I/We also agree that the dispatch of the digital contract note and / or other statements including quarterly statements from the member's end shall constitute deemed delivery of the same, unless bounced back, and it shall be my /our responsibility to check my / our emails for the same. I/We also agree to bring to the member's notice any discrepancy as early as possible from receipt of the digital contract note, failing which the contract shall be considered as accepted and acknowledged in to without any discrepancies, save and except typographical and technical errors.

After error For any discrepancies if any should be sent by registered E-mail to msn@msnsecurities.com

The email address to be used for the purpose of sending digital contracts is/are mentioned below :

Email address : _____


I also have noted that the digital contracts would also be available to me on www.msnsecurities.com

In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form.

This authority is valid till we continue trading with your company or can be revoked by me / us at any point of time.

Thanking you,

Yours faithfully

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

ONLY FOR INDIVIDUAL

Date :

To,
M.S.N. SECURITIES PVT. LTD.
108, Veena Chambers, 21 Dalal Street,
Fort, Mumbai 400 001.

Dear Sirs,

Sub. : AUTHORITY LETTER FOR DEALINGS.

I Mr. / Ms./ Smt. _____ do hereby state that I am the husband/wife/son/daughter of _____. I am intending to have dealings with M.S.N. SECURITIES PVT. LTD. Member of National Stock Exchange of India Ltd. and/or Bombay Stock Exchange Ltd. I hereby authorize my husband / wife /son/daughter/father/mother _____ to execute orders on my behalf and any dealing/actions done on my behalf by my husband/wife/son/daughter/father/mother shall be acceptable to me and deemed to be Subject to the Bye laws, Rules and Regulations of the Exchanges from time to time.

The Specimen Signature of the Authorised person is given below.

Signature (in full) : _____

Signature in short (initials) : _____

I trust that I have complied with the requirements of the Member as per the Byelaws, Rules and Regulations of the Exchange.

Thanking you,
Yours faithfully,

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE	☺	PLACE:

M.S.N. SECURITIES PRIVATE LIMITED.
108, Veena Chambers,
21 – Dalal Street, Fort,
Mumbai – 400 001

Dear Sirs,


Sub : **Letter of Authority – Voluntary**

I / We have been regularly trading and investing , or plan to do so , with you at Bombay Stock Exchange Ltd. / National Stock Exchange of India Ltd . To facilitate ease of operations , I / we request and authorize you as under :

1. Due to Continuous Nature of Trading and Dealing in Securities and Daily Settlements, I / we hereby authorize you to adjust Funds for Pay- in / Deliveries against my / our Purchases / Margin / Security Deposit / Funds for Pay- Out of next settlements , Bad Deliveries, Auctions, Objections and / or any other Outstanding Funds Debit and / or Securities Position. Further , any Credit Balance of Pay- Out and Deliveries of Securities lying in your account on my / our behalf would be kept with you unless I / we instruct you to transfer in my / our account.
2. My / our orders for purchase / sale of shares and securities will be given on telephone or orally during my / our visit to your office. I / we further declare that all orders placed by me / us with you will be for my / our personal / family account(s) and that I / we further authorize you to Modify / Delete the order(s) on my / our behalf for which instructions may be given to you through telephone Verbal / Cellular SMS Services / Oral / Written Communication.
3. I /we hereby authorize you not to provide me / us order confirmation / modification / cancellation slip and trade confirmation slip to avoid unnecessary paper work. I / we shall get the required details from contracts issued by you.
4. I / we agree and authorize you to debit charges for depository services and any other incidental charges to my / our running account.
5. I / we hereby authorize you to liquidate / close out all or any of my /our positions for non- payment of margins or other account, outstanding debts etc. I /we agree to bear any and all losses and financial charges on account of such liquidation / close out.
6. I / we agree that you may refuse to execute any particular transaction without assigning any reason thereof.
7. I / we agree not to hold you liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion earthquake, riots, war, strikes, failure of systems, failure of internet links, Government / regulatory actions or any such other contingencies which may be beyond your control.
8. As we will deal in Viz. Capital Market, Derivatives in NSE, you may adjust the credit in one segment for debit in other segment including payment of margin.
9. I / we hereby authorize you to pledge the securities given to you as collateral with the clearing bank to be utilized for my / our Derivative Segment for margin & settlement obligation.
10. I / we hereby authorize you to maintain my / our account of both funds & Securities, with you on a running account basis. This running account authorization would continue until it revoked by me / us.
11. I / we hereby reserve the right to revoke all / any of the above authorization anytime.

Thanking you

Yours truly,

FIRST HOLDER		DATE :
CLIENT NAME :		CLIENT CODE :
SIGNATURE		PLACE:

NAME MISMATCH DECLARATION

Date: _____

To,
M.S.N. Securities Pvt. Ltd.
108 Veena Chambers,
Dalal Street, Fort,
Mumbai 400 001.

Subject: Declaration of name which appears different at PAN, Bank A/c and Address proof

Dear Sir/Madam,

This is to Certify that the name on the PAN card is _____
on my PAN No: _____

And in the Bank A/c my Name is _____

And as per address proof my name is _____

Further I declare that the names mentioned in above details document pertains to me,
therefore, I request you to open my account and make all payouts in the same name as
mentioned in my Bank proof / PAN Proof _____.

Thanking you,

Yours truly,

Name of The Account Holder: _____

Client DP ID: _____

Signature: _____

Place: _____

THIS PAGE HAS BEEN INTENTIONALLY LEFT BANK

ACKNOWLEDGEMENT

Date :

To,

M.S.N. Securities Pvt. Ltd.

108 Veena Chambers, Dalal Street,

Fort, Mumbai 400001

I/We hereby acknowledge that the following documents/ process were made available/ explained to me:

1. Rights and Obligations of Stock Broker and Beneficial owner and Depository Participant (DP)
2. Guidance Note - Do's and Don'ts for Stock Broker and depository for Investors
3. Policies and Procedures of M.S.N. Securities Pvt. Ltd. pursuant to the SEBI circular dated December 03, 2009
4. Terms and Conditions for Basic Services Demat Account (BSDA), if applicable
5. Risk Disclosure Documents for Capital Market and Derivatives Segment

I/We understand that the Voluntary documents executed by me are out of my/our free will. I/We hereby confirm that I have clearly understood and agree to abide by the Policies and Procedures, Rights and obligations, Terms and Conditions (containing para 1 to 105) and Tariff Structure and be bound by same and by the bye laws as are in force from time to time as described by .I also understand and agree that these Policies and Procedures, Terms and Conditions and Tariff Structure can be changed by M.S.N. Securities Pvt. Ltd. from time to time with prior notice of 30 days through email.

I/We aware that the welcome kit, login Id and password of my trading account will be sent on my email ID and alerts on Mobile no. furnished in KYC form and any changes thereof.

I/We hereby declare that any change in the information submitted by me/us in regard to FATCA/CRS shall be intimated to M.S.N. Securities Pvt. Ltd immediately.

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 and I/We undertake that it would be my/our responsibility to check, scrutinize the said forms and documents within 15 days of account opening and intimate discrepancies if any. We further agree that any false/misleading information given by me/us or suppression of any material information will render my/our account liable for termination and suitable action.

	FIRST/SOLE HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE	☺	☺	☺