



Client Name		Client Code	
Branch Name		Branch Code	
RM Name		Employee Code	
Trading Mode	<input type="checkbox"/> Online	<input type="checkbox"/> Offline	

KNOW YOUR CUSTOMER

For Individual

Nirman Share Brokers Pvt. Ltd.

(Member: Bombay Stock Exchange of India Ltd (BSE), National Stock Exchange of India Ltd., Central Depository Services (India)Ltd.)

Member ID : NSE (12309), BSE (956) SEBI Registration No.: INZ000197638

CDSL (DPID-12059500), SEBI Registration No.: IN-DP-CDSL-494-2 0 0 8

CIN No-U67120MP2001PTC14523

Registered & Correspondence office :

NIRMAN HOUSE 8, Zone-1,M. P. Nagar, Bhopal - 462011,
Phone No.: 755-4311111, 4260000, 4077777
Email ID : info@nirmanbroking.com
Website : www.nirmanbroking.com

Compliance Officer's Details (CDSL DP)

Name : Mr. Tushar Suryavanshi
Phone No.: 0755-4311111,07554260000
E-mail Id :dpnirman@nirmanbroking.com

Compliance Officer's Details (NSE/BSE)

Name : Mr. Tushar Suryavanshi
E-mail Id : tushar.s@nirmanbroking.com

CEO Details

Name : Mr. Abhas Jain
Phone No.: 0755-4311111,07554260000
E-mail Id : abhas@nirmanbroking.com

Principle Officer :

Name : Abhishek Jain
Phone No. :0755-4311111,07554260000
E-mail Id : abhishek@nirmanbroking.com

For any grievance/dispute please contact **Nirman Share Brokers Pvt Ltd.** at the above address or email id:grievances@nirmanbroking.com and Phone No.0755-4311111, 4260000.In case not satisfied with the response, please contact the concerned exchange(s) at:BSE Ltd ISC.Mumbai@bseindia.com and Phone No. 022-22728517/8097 and at NSE Ltd ignse@ nse.co.in and Phone No. 022 26598191 and at CDSL complaints@cdslindia.com and Phone No. 1800-22-5533

ACKNOWLEDGEMENT TO NIRMAN SHARE BROKERS PVT. LTD. FROM CLIENT

Date:

To,

I/We intends to open a Trading Account with M/s. Nirman Share Brokers Pvt. Ltd. who is member of BSE/NSE| NSE undertakes as follows:

1. I/We have been duly aware by Member that clients has a preference to receive the below referred documents either in electronic form or in physical form:

- A. Right and Obligations of Member, Authorized Person and Clients.
- B. Internet and Wireless Technology based Trading Facility Provided by Member to Clients.
- C. Risk and Disclosure document for Capital / Derivatives Segments
- D. Guidance Note - Do's and Don'ts for trading on the Exchange(s) for investors

1. I/We am/are further aware by my/our Member that for receiving the above said documents in Electronic or Physical Form, I/We have to accord my/our consent.

2. Therefore, in reference to the above, I/We hereby voluntarily accord my/our consents to received the aforesaid documents in:

Electronic Form Physical Form

3. If I/We opted for the same in Electronic mode, then Member can sent said aforesaid documents at my registered email id.

4. I/We have been further aware by my/our Member that the aforesaid documents has also been available at the Member's website i.e. at www.nirmanbroking.com

5. I/We am/are aware that the non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my registered email id.

6. I/We hereby accord my/our consents to an arbitration agreement by virtue of which I/We shall refer all my/our claims, differences or disputes between us which might have arise out of my/our trading, deposits, margin money, etc. in relation to my/our dealings in contracts and transactions which have been made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transaction and contacts have entered into, to the arbitration in accordance with the provisions of these ByeLaws, Rules and Regulations of the Exchanges.

Client Signature

Client Name

RECEIPT OF PHYSICAL KIT

I/We hereby confirm that I/We have received a copy of following documents from Nirman Share Brokers Pvt. Ltd. and have read & understood the same :

- A. Right and Obligations of Member, Authorized Person and Clients.
- B. Internet and Wireless technology based trading facility Provided by Member to Clients.
- C. Risk and Disclosure document for Capital / Derivatives Segments.
- D. Guidance Note-Do's and Don'ts for trading on the Exchange(s) for Investors.
- E. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.

Client Signature

Client Name

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS			
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2.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities	9
3.	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	10-22
4.	Do's and Don'ts for the Investors	Guidance Note for dealing in securities	23-24
5.	Policies and Procedures	Document describing significant policies and procedures of the Stock Broker	25-26
6.	Tariff Sheet	Document detailing rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	27
7.	Guidance Note	Document detailing do's & don'ts for trading on exchange for the education of investors.	28

VOLUNTARY DOCUMENTS			
S. No	Name of the Documents	Brief Significance of the Document	Page No.
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3.	Running Account Authorisation	Running Account Authorisation	31
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9.	Undertaking to Act in Own Capacity	Letter giving clients confirmation to act in his own capacity	35

A. IMPORTANT POINTS :

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

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

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

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

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

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

D. Exemptions/clarifications to PAN

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

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIPof Mutual Funds upto Rs 50, 000/- p.a

5. In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary

E. List of people authorized to attest the documents:

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

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

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

INSTRUCTIONS / CHECK LIST (for filling additional information related to trading account)

- Additional documents in case of trading in derivatives segments - illustrative list : • Copy of ITR Acknowledgement • Copy of Annual Accounts • In case of salary income - Salary Slip, Copy of Form 16 • Net Worth Certificate • Copy of Demat account holding statement. • Bank account statement for last 6 months • Any other relevant documents substantiating ownership of assets. • Self declaration with relevant supporting documents
- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - 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:
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

Know Your Client (KYC)**Application Form (For Individuals Only)****NIRMAN SHARE BROKERS PVT. LTD.****Registered & Correspondence Office :****NIRMAN HOUSE 8, Zone-1, M. P. Nagar, Bhopal - 462011**

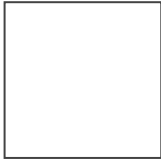
Please fill the form in ENGLISH and in BLOCK letters

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**A. IDENTITY DETAILS OF APPLICANT***

1. Name of Applicant		
Maiden Name (if any)		
2. a. Mother's Name		
b. Father's / Spouse's Name		
3. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	
b. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	
c. Date of Birth		
4. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other	
5. Residential Status	<input type="checkbox"/> Resident Individual	
	<input type="checkbox"/> Non-Resident Indian (NRI)	
	<input type="checkbox"/> Person of Indian Origin	
	<input type="checkbox"/> Foreign National	
6. Citizenship	<input checked="" type="checkbox"/> Indian	
7. Occupation	<input type="checkbox"/> Service <input type="checkbox"/> Private <input type="checkbox"/> Public <input type="checkbox"/> Government	
	<input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Professional	
	<input type="checkbox"/> Others <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired	

B. PROOF OF IDENTITY (POI)*

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

UID (Aadhaar)	
Passport Number	Expiry Date:
Driving License	Expiry Date:
Voter ID	
PAN Card	
NREGA Job Card	
Others	Identification No.

C. PROOF OF ADDRESS (POA)**1. CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS*****Address Type*** : Residential Business Residential / Business Registered Office Unspecified**Proof of Address*** : UID (Aadhaar) Passport Driving License Voter Identity Card
 NREGA Job Card Utility Bill (Last 3 months) Others:**Address Details***

--	--

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

B. Permanent residence address of applicant, if different from above A / Overseas Address*(Mandatory for NRI Applicant)			
Line 1*			
Line 2*			
Line 3*			
City / Village / Town*		District*	
State*		Country*	
Pin Code*		State / U.T. Code*	

E. CONTACT DETAILS			
Mobile No:		Fax:	
Email Address:			
Telephone (Office):		Telephone (Residence):	

D. 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>			
		Applicant e-SIGN	Applicant Wet Signature
Signed on Date		Place	

5. For Office Use Only	
In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input checked="" type="checkbox"/> Self certified document copies received (OVD) <input checked="" type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : Nirman Share Brokers Pvt. Ltd. <div style="border: 1px solid black; width: 150px; height: 20px; margin: 0 auto;"></div>

Geo Location : [Latitude:], Longitude:

FATCA & CRS Declaration - Individual

PAN : Trading Code :
name :
Place of Birth : Country of Birth :
Nationality :
Net Worth Amount : Net Worth as on :
(Net worth should not be older than 1 year)

Occupational Detail PRIVATE SECTOR PUBLIC SECTOR GOVERNMENT SECTOR
 PROFESSIONAL Business AGRICULTURIST RETIRED HOUSE WIFE
 Student Others please specify

Politically Exposed Person(PEP) Yes No

Are you a tax resident of any country other than India Yes No

If yes, please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1			
2			
3			

Declaration

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform NIRMAN SHARE BROKERS PVT. LTD. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on

Sign here

Date :

Place :

For Investor convenience, NIRMAN SHARE BROKERS PVT. LTD. collecting this mandatory information for updating across all Group Companies of NIRMAN SHARE BROKERS PVT. LTD. whether you are already an investor or would become an investor in future

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest NIRMAN SHARE BROKERS PVT. LTD. branch or you can dispatch the hard copy to

• For Detail Terms & Conditions please visit www.nirmanbroking.com

ANNEXURE 1 (PART - II)

TRADING ACCOUNT RELATED DETAILS

FOR INDIVIDUALS

NIRMAN SHARE BROKERS PVT. LTD.Registered & Correspondence Office : NIRMAN HOUSE 8,Zone-1,M. P. Nagar
Bhopal - 462011

A. OTHER DETAILS

Gross Annual Income Details (please specify)	Income Range per annum : <input type="checkbox"/> BELOW 1 LAKH <input type="checkbox"/> RS 1 LAKH to RS 5 LAKH <input type="checkbox"/> RS 5 LAKH to RS 10 LAKH <input type="checkbox"/> RS 10 LAKH TO RS 25 LAKH <input type="checkbox"/> RS 25 LAKH TO RS 1 CRORE <input type="checkbox"/> More then 25 lakh repees <input type="checkbox"/> Others please specify :
Occupation (For Individuals Only) (please tick any one and give brief details)	<input type="checkbox"/> PRIVATE SECTOR <input type="checkbox"/> PUBLIC SECTOR <input type="checkbox"/> GOVERNMENT SECTOR <input type="checkbox"/> PROFESSIONAL <input type="checkbox"/> Agriculture <input type="checkbox"/> BUSINESS <input type="checkbox"/> RETIRED <input type="checkbox"/> HOUSE WIFE <input type="checkbox"/> STUDENT <input type="checkbox"/> Others ABOVE Others please specify : _____
Please tick, as applicable (For Individuals Only)	<input type="checkbox"/> Not a Politically Exposed Person Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP) <input type="checkbox"/> Politically Exposed Person (PEP) (PEP) <input type="checkbox"/> Not Related to Politically Exposed Person (PEP)

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :

(If you have a landline connection, kindly provide the same)

B. BANK ACCOUNT(S) DETAILS

Bank Name & Address	Bank Account Number	Account Type	MICR Number	IFSC Code

Note : Provide a copy of cancelled cheque leaf/pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the Bank

C. DEPOSITORY ACCOUNT(S) DETAILS, if available

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
Nirman Share Brokers Pvt Ltd.	<input type="checkbox"/> CDSL		12059500	

Date:-

TRADING PREFERENCES

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

If, in future, the you wants to trade on any new segment/new exchange, please send us separate authorization/letter to us.

E. INVESTMENT / TRADING EXPERIENCEYEARS OF EXPERIENCE in securities market: Below 1 year Above 1 year NA**F. GST DETAILS (As applicable, State wise)**

Legal Name	NA		
Trade Name	NA		
GSTIN	NA	Registration Date	NA
Name of the State	NA	State Code	NA
Other State GSTIN	NA	Registration Date	NA
Name of the State	NA	State Code	NA

G. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI / Stock Exchange / any other authority against the client or its Partners / Promoters / Whole Time Directors / Authorized Persons incharge during the last 3 years :

 No Yes (If yes, please specify _____)**H. DEALING THROUGH OTHER MEMBERS**

If client is dealing through any other Member, provide the following details (in case dealing with multiple Member's/AP's, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's/Authorised Person(AP)'s Name			
Exchange			
Exchange's Registration No			
Concerned Member's Name with whom the AP is registered			
Registered Office Address			
Tel:		Fax	
E-mail		Website	
Details of disputes / dues pending from/to such Member / AP:			
Client Code			


I. INTRODUCER DETAILS (optional)

Name of the introducer			
Status of the Introducer	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (Pl. Specify) Employee		
Address and Phone No. of the Introducer			
		Signature of the Introduce	

J. ADDITIONAL DETAILSWhether you wish to receive communication from Member in electronic form on your Email-id. Yes No
(If yes then please fill in Appendix - A)

FOR OFFICE USE ONLY

UCC Code allotted to the Client :

	Documents verified with Originals
Name of the Employee	GEETA SHARGA
Employee Code	GS001
Designation of the Employee	DP Head
Date	
Signature	

I / We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary/nonmandatory 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, for the information of the clients.

For Nirman Share Brokers Pvt. Ltd.

Seal / Stamp of the Member



Signature of the Authorised Signatory

Date:

RISK DISCLOSURE DOCUMENT

The Exchange does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange endorsed or passed any merits of participating in the Derivatives market/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it

In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual 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(s), 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 the Exchange and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Client 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 derivatives being traded on the Exchange.

It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by SEBI from time to time and circulars as may be issued by the Exchange from time to time.

The Exchange 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 member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment 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, you should be aware of or must get acquainted with the following:-

1. Basic Risks**i. Risk of Higher Volatility**

a. Volatility refers to the dynamic changes in price that security/derivatives contracts undergo when trading activity continues on the Stock Exchange. Generally, higher the volatility of a securities/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded security/ derivatives contracts than in actively traded security/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 real losses

ii. Risk of Lower Liquidity

a.. Liquidity refers to the ability of market participants to buy and/ or sell security/ derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number 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 security/ derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for security/ derivative contracts purchased or sold. There may be a risk of lower liquidity in some security/ derivative contracts as compared to active security/ derivative contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be execute at all. b. Buying/ Selling without intention of giving and/ or taking delivery of certain securities may also result into losses, because in such a situation, security / derivative contracts may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such security / derivative contracts

iii. Risk of Wider Spreads

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

iv. Risk-reducing orders

a. Most of the Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc. Placing of such 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.

b. 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.

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

d. 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 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 contract approaches 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 contract might penetrate the predetermined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

v. Risk of News Announcements

a. Traders/Manufacturers make news announcements that may impact the price of the stock/ derivatives contracts. These announcements 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/ derivatives contract.

vi. Risk of Rumours

a. Rumours about companies/currencies at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours.

vii. System Risk

a. 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.

b. 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 execution of order and its confirmation.

c. 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 price hitting circuit filters or for any other reason.

viii. System/ Network Congestion

a. Trading on the Exchange is in electronic mode, based on satellite/leased line 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 the control of 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 are concerned, please note and get yourself acquainted with the following additional features:-

Effect of "Leverage" or "Gearing":

a. 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 principal investment amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives contracts and also trade with caution while taking into account one's circumstances, financial resources, etc

b. Trading in Futures Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.

c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate/square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/ Close Outs.

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

e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

f. You must ask your Member of the Exchange to provide the full details of the securities / derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

3. TRADING THROUGH WIRELESS TECHNOLOGY OR ANY OTHER TECHNOLOGY:

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

4. GENERAL

i. Deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be prorated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

ii. Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

iii. For rights and obligations of the Members/Authorised Persons/ clients, please refer to Annexure 3

iv. The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the derivatives contracts through the mechanism provided by the Exchange.

v. The term 'member' shall mean and include a Trading Member or a Member/Broker, who has been admitted as such by the Exchange and got a Registration Certificate from SEBI.

ADDITIONAL RISK DISCLOSURE DOCUMENTS FOR OPTIONS TRADING

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.

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.

RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORIZED 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 Business Rules/ Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
 2. The Member, Authorized Person and the client shall be bound by all the Rules, Byelaws and Business Rules 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 himself of the capacity of the Member to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the Member and the client shall from time to time continue to satisfy itself of such capability of the Member before executing orders through the Member.
 4. The Member 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 Member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the Member acts.
 6. Requirements of professional diligence
 - a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.
 - b. "professional diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with:
 - i. honest market practice;
 - ii. the principle of good faith;
 - iii. level of knowledge, experience and expertise of the Client;
 - iv. the nature and degree of risk embodied in the financial product* or financial service being availed by the Client; and
 - v. the extent of dependence of the Client on the Member.
 - *securities / derivatives contract
 7. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).
- CLIENT INFORMATION**
8. The client shall furnish all such details in full as are required by the Member in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
 9. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the Member shall be nonmandatory; therefore, subject to specific acceptance by the client.
 10. The client shall immediately notify the Member 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 Member on a periodic basis.
 11. A. Protection from unfair terms in financial contracts**
 - a. An unfair term of a non-negotiated contract will be void.
 - b. A term is unfair if it –
 - i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
 - ii. is not reasonably necessary to protect the legitimate interests of the Member.
 - c. The factors to be taken into account while determining whether a term is unfair, include –
 - i. the nature of the financial product or financial service dealt with under the financial contract;
 - ii. the extent of transparency of the term; **contracts offered by Sebi and stock exchange
 - iii. the extent to which the term allows a Client to compare it with other financial contracts for similar financial products or financial services; and
 - iv. the financial contract as a whole and the terms of any other contract on which it is dependent.
 - d. A term is transparent if it –
 - i. is expressed in reasonably plain language that is likely to be understood by the Client;
 - ii. is legible and presented clearly; and
 - iii. is readily available to the Client affected by the term.
 - e. If a term of a financial contract is determined to be unfair under point 11.A.c, the parties will continue to be bound by the remaining terms of the financial contract to the extent that the financial contract is capable of enforcement without the unfair term.
 11. B.
 - a. "Non-negotiated contract" means a contract whose terms, other than the terms contained in point 11.C. (given below) are not negotiated between the parties to the financial contract and includes –
 - i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and
 - ii. a standard form contract.
 - b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client, except for the terms contained in point 11.C

c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a non-negotiated contract if so indicated by –

- i. an overall and substantial assessment of the financial contract; and
- ii. the substantial circumstances surrounding the financial contract

d. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member

11. C. a. The above does not apply to a term of a financial contract if it –

- ii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or
- iii. is required, or expressly permitted, under any law or regulations.

12. The Member and Authorized 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 Member may so disclose information about his client to any person or authority with the express permission of the client.

13. A. Protection of personal information and confidentiality

a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes –

- i. name and contact information;
- ii. biometric information, in case of individuals
- iii. information relating to transactions in, or holdings of, financial products
- iv. information relating to the use of financial services; or
- v. such other information as may be specified.

a. A Member must –

- i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;
- ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted under point

13.B.b.;

- iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;

v. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the Regulator may specify; and

v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.

b. A Member may disclose personal information relating to a Client to a third party only if –

i. it has obtained prior written informed consent of the Client for the disclosure, after giving the Client an effective opportunity to refuse consent;

ii. the Client has directed the disclosure to be made;

iii. the Regulator has approved or ordered the disclosure and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;

iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;

v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the Member –

1. informs the Client in advance that the personal information may be shared with a third party; and

2. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this Part; or

vi. the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the Member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this Part.-

c. "Third party" means any person other than the concerned Member, including a person belonging to the same group as the Member.

14.A Requirement of fair disclosure both initially and on continuing basis

a. Member must ensure fair disclosure of information that is likely to be required by a Client to make an informed transactional decision.

b. In order to constitute fair disclosure, the information must be provided –

i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;

ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and

iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services. c. The types of information that must be disclosed to a Client in relation to a financial product or financial service, which may include information regarding –

- i. main characteristics of the financial product or financial service, including its features, benefits and risks to the Client;
- ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
- iii. existence, exclusion or effect of any term in the financial product or financial contract;
- iv. nature, attributes and rights of the Member, including its identity, regulatory status and affiliations;
- v. contact details of the Member and the methods of communication to be used between the Member and the Client;
- vi. rights of the Client to rescind a financial contract within a specified period; or
- vii. rights of the Client under any law or regulations.

14.B.

a. Member must provide a Client that is availing a financial product or financial service provided by it, with the following continuing disclosures –

- i. any material change to the information that was required to be disclosed under point 14.A at the time when the Client initially availed the financial product or financial service;
- ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and
- iii. any other information that may be specified.

b. A continuing disclosure must be made –

- i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and
- ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.

MARGINS

15. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Member 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 Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

16. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues.

In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

17. The client shall give any order for buy or sell of / securities derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

18. The Member 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.

19. The Member shall ensure that the money 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 Member for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, circulars, notices, guidelines of SEBI and/or Rules, Business Rules, Bye-laws, circulars and notices of Exchange.

20. 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, Member shall be entitled to cancel the respective contract(s) with client(s).

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

BROKERAGE

22. The Client shall pay to the Member 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 Member renders to the Client. The Member shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Business Rules and Bye-laws of the relevant stock exchanges and/or Rules of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

23. Without prejudice to the Member's other rights (including the right to refer a matter to arbitration), the client understands that the Member 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.

24. In the event of death or in solvency 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, Member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the Member against the legal heir.

DISPUTE RESOLUTION

25. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.

26. The client and the Member shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Business Rules of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

27. The client/Member understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Member shall be binding on the client/Member in accordance with the letter authorizing the said representative to deal on behalf of the said client/Member.

28. Requirement for each Member to have an effective grievance redress mechanism which is accessible to all its Clients

a. A Member must have in place an effective mechanism to receive and redress complaints from its Clients in relation to financial products or financial services provided by it, or on its behalf, in a prompt and fair manner.

b. A Member must inform a Client, at the commencement of relationship with the Client and at such other time when the information is likely to be required by the Client, of –

i. the Client's right to seek redress for any complaints; and
ii. the processes followed by the Member to receive and redress complaints from its Clients.

29. A. Suitability of advice for the Client

Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Client's financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.

a. A Member must –

i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and
ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.

b. If it is reasonably apparent to the Member that the available information regarding the relevant personal circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.

c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member –

i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and

ii. may provide the financial product or financial service requested by the Client only after complying with point 29.A. a and obtaining a written acknowledgement from the Client

30. Dealing with conflict of interest

In case of any conflict between the interests of a Client and that of the Member, preference must be given to the Client interests.

a. A Member must –

i. provide a Client with information regarding any conflict of interests, including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and

ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between

1. its own interests and the interests of the Client; or
2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative

b. The information under point 16a.i. must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgement of the receipt of the information should be obtained from the Client.

c. In this section, "conflicted remuneration" means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients, that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

TERMINATION OF RELATIONSHIP

31. This relationship between the Member and the client shall be terminated; if the Member for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the Member's default, death, resignation or expulsion or if the certificate is cancelled by the Exchange.

32. The Member, Authorized 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.

33. In the event of demise/insolvency of the Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorized Person by the stock exchange and/or termination of the agreement with the Authorized Person by the Member, 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 Member and all clauses in the 'Rights and Obligations' document(s) governing the Member, Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

34. The Member and client shall reconcile and settle their accounts from time to time as per the Rules, Business Rules, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

35. The Member shall issue a contract note to his clients 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 Member shall send contract notes to the investors within 24 hours of the execution of the trades in hard copy and/or in electronic form using digital signature.

36. The Member shall make pay out of funds or delivery of securities as per the Exchange Rules, Bye- Laws, Business Rules and Circulars, as the case may be, to the Client on 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.

37. The Member 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.

38. The Member shall send margin statements to the clients on daily basis. 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, warehouse receipts, securities etc.

39. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member 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.

40. In case, where a member surrenders his/ her/ its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that client lodge a claim with the Exchange within the stipulated period and with the supporting documents.

41. A. Protection from unfair conduct which includes misleading conduct & abusive conduct

a. Unfair conduct in relation to financial products or financial services is prohibited.

b. "Unfair conduct" means an act or omission by a Member or its financial representative that significantly impairs, or is likely to significantly impair, the ability of a Client to make an informed transactional decision and includes –

- i. misleading conduct under point 41.B
- ii. abusive conduct under point 41.C
- iii. such other conduct as may be specified.

41.B

a. Conduct of a Member or its financial representative in relation to a determinative factor is misleading if it is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise, and the conduct involves –

- i. providing the Client with inaccurate information or information that the Member or financial representative does not believe to be true; or
- ii. providing accurate information to the Client in a manner that is deceptive.

b. In determining whether a conduct is misleading under point 41.B.a, the following factors must be considered to be "determinative factors" –

- i. the main characteristics of a financial product or financial service, including its features, benefits and risks to the Client;
- ii. the Client's need for a particular financial product or financial service or its suitability for the Client;
- iii. the consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
- iv. the existence, exclusion or effect of any term in a financial contract, which is material term in the context of that financial contract;
- v. the nature, attributes and rights of the Member, including its identity, regulatory status and affiliations; and
- vi. the rights of the Client under any law or regulations.

41.C.

a. A conduct of a Member or its financial representative in relation to a financial product or financial service is abusive if it –

- i. involves the use of coercion or undue influence; and

- ii. causes or is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise.
- b. In determining whether a conduct uses coercion or undue influence, the following must be considered:
 - i. the timing, location, nature or persistence of the conduct;
 - ii. the use of threatening or abusive language or behaviour;
 - iii. the exploitation of any particular misfortune or circumstance of the Client, of which the Member is aware, to influence the Client's decision with regard to a financial product or financial service;
 - iv. any non-contractual barriers imposed by the Member where the Client wishes to exercise rights under a financial contract, including –
 - v. the right to terminate the financial contract;
 - vi. the right to switch to another financial product or another Member and
 - vii. a threat to take any action, depending on the circumstances in which the threat is made.

ELECTRONIC CONTRACT NOTES (ECN)

42. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id (created by the client) to the Member (Kindly refer Appendix A of Annexure 1). Member shall ensure that all the rules/Business Rule/Bye-Laws/ circulars issued from time to time in this regard are complied with. The client shall communicate to the Member 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.

43. The Member shall ensure that all ECN s sent through the email shall be digitally signed, encrypted, nontamperable 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.

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

45. The Member 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/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 Member for the specified period under the extant rules/circulars/guidelines issued by 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 Member 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 rules/circulars/ guidelines issued by SEBI/Stock exchanges.

46. The Member 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 Member shall send a physical contract note to the client within the stipulated time under the extant Regulations/ Rules, ByeLaws, Business Rules and Circulars of SEBI/Stock exchanges and maintain the proof of dispatch and delivery of such physical contract notes.

47. In addition to the e-mail communication of the ECNs to the client, the Member 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.

48. The Electronic Contract Note (ECN) declaration form obtained from the Client who opts to receive the contract note in electronic form. This declaration will remain valid till it is revoked by the client.

LAW AND JURISDICTION

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

50. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by SEBI and Circulars, Rules, Business Rules and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

51. The Member 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, if either party is not satisfied with the arbitration award.

52. 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/Business Rules and circulars/notices issued thereunder of the Exchanges/SEBI.

53. All additional voluntary/non mandatory clauses/ document added by the Member should not be in contravention with Rules/ Business Rules/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.

54. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of SEBI or Bye-laws, Rules and Business Rules 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.

55. Members are required to send account statement to their clients every month.

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS 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. Member 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 Member shall comply with all requirements applicable to internet based trading/- security 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 Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet or any other technology should be brought to the notice of the client by the Member.
4. The Member shall make the client aware that the Member's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Member'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 Member.
6. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member'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 Member 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 Member 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 Member and the Exchange do not make any representation or warranty that the Member'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 Member on account of any suspension, interruption, nonavailability or malfunctioning of the Member's IBT System or Service or the Exchange's service or systems or nonexecution of his orders due to any link/system failure at the Client/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

Client Signature

GUIDANCE NOTE - DO'S AND DON'Ts FOR THE CLIENTS

- Do's**
1. Trade only through Registered Members of the Exchange. Check from the Exchange website at following link to see whether the Member is registered with the Exchange.
For BSE :<https://www.bseindia.com/ MembersDetails.aspx> |
For NSE: <https://www.nseindia.com>
 2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading
 3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
 4. Insist on reading and signing a standard 'Risk Disclosure Agreement'
 5. Obtain a copy of your KYC and/ or other documents executed by you with the Member, from the Member
 6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website at the following link. For BSE :<https://www.bseindia.com/ TradeVerification.aspx> | For NSE: <https://www.nseindia.com>
- The trades can be verified online where trade information is available up to 5 working days from the trade date.
7. Insist on a duly signed Contract Note in specified format for every executed trade within 24 hours of trade, highlighting the details of the trade along with your UCC.
 8. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.
 9. Obtain receipt for collaterals deposited with the Member towards margins.
 10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities to know your rights and duties vis-à-vis those of the Member
 11. Ask all relevant questions and clear your doubts with your Member before transacting.
 12. Insist on receiving the bills for every settlement.

13. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your Member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.
14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
15. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
16. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.
17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
19. Deliver the securities in case of sale or pay the money in case of purchase within the time prescribed
20. Understand and comply with accounting standards for derivatives.
21. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.
22. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
23. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of stock with the Member, stating date, quantity, towards which bank/ demat account such money or securities (in the form of warehouse receipts) deposited and from which bank/ demat account.
24. The payout of funds or delivery of securities (as the case may be) shall not be made to you within one working day from the receipt of payout from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be 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) You need to bring any dispute arising from the statement of account to the notice of the Member 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.
- c) In case you have not opted for maintaining running account and pay-out is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant stock exchange.
- d) Please register your mobile number and email id with the Member, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.
25. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the securities / derivatives derivatives or the member becomes insolvent or bankrupt.
26. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.
27. In case your problem/grievance/issue is not being sorted out by concerned Member/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.

- Don'ts**
1. Do not deal with any unregistered intermediaries.
 2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
 3. Do not enter into assured returns arrangement with any Member
 4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/ implicit promise of returns, etc.
 5. Do not make payments in cash/ take any cash towards margins and settlement to/ from the Member.
 6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
 7. Do not neglect to set out in writing, orders for higher value given over phone.
 8. Do not accept unsigned/duplicate contract note/confirmation memo.
 9. Do not accept contract note/confirmation memo signed by any unauthorized person.
 10. Don't share your internet trading account's password with anyone
 11. Do not delay payment/deliveries of securities to Member.
 12. Do not forget to take note of risks involved in the investments.
 13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing securities deposits and/or keep them with Depository Participants (DP) or member to save time.
 14. Do not pay brokerage in excess of that rates prescribed by the Exchange
 15. Don't issue cheques in the name of Authorized Person

Client Signature

POLICIES & PROCEDURES**. Refusal of order for illiquid penny stocks.**

The Stock broker may from time to time limit (quantity/value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the Stock broker / exchanges(s) /SEBI. Provided further that Stock broker may require compulsory settlement / advance payment of expected settlement value for settlement prior to acceptance / placement of order(s) as well.

The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone. The Stock broker may require reconfirmation of orders, which are larger than that specified by the Stock broker's risk management, and is also aware that the Stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up Client's exposure limits.

The Stock broker may from time to time impose and vary limits on the orders that the client can place through the Stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value in respect of which orders can be placed etc.). The client is aware and agrees that the Stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the Stock broker risk perception and other factors considered relevant by the Stock broker including but not limited to limits on account of exchange / SEBI directions / limits (such as broker level/market level limits in stock specific/volume specific exposures etc.) and the Stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the Stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Stock broker's trading system on account of any such variation, reduction or imposition of limits.

The client further agrees that the Stock broker may at orders or trade in Stocks through the Stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of limits set by Stock broker/ exchange / SEBI and any other reasons which the Stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any, on account of such refusal or delay caused by such review, shall be borne exclusively by the client alone.

3. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client. The Stock broker have margin based RMS system. Client may take exposure upto the amount of margin available with us.

Client may not be allowed to take position in case of nonavailability/shortage of margin as per our RMS policy of the

company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/ outstanding debts.,

4. Applicable brokerage rate

Brokerage will be charged within the limits prescribed by SEBI/Exchange.

5. Imposition of penalty / delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate of 2% per month. Similarly the stock broker will also be liable to pay delayed payment charges to the client for not making payment of their obligation on time, as per the exchange requirement/schedule at the rate of 2% p.m., except in the cases covered by the "Running Account Authorisation" given by the client to the stock broker which will be levied after 5 working days from the date of obligation.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

6. Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the Stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The Stock broker shall have the right to adopt a policy of its choice for internal auctions arising out of internal netting of trades and charge to default seller and compensate the impacted purchaser as per the policy. The current procedure for internal auction may be amended from time to time with prospective effect.

7. The right to sell client's stocks or close clients, positions, without giving notice to the client, on account of non-payment of client's dues.

The Stock broker maintains centralized banking handling processes and relating banking and depository accounts at designated place. The client shall ensure timely availability of funds in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds. The Stock broker shall not be responsible for any claim/ loss/ damage arising out of non availability of funds by the client in the designated account (s) of the Stock broker for meeting the pay in obligation of either funds.

If the client give orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or Stock broker level/ non release of margin by the Stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions/square off/ closing outs etc. , shall be solely to the account of the client and the client agrees not to hold the Stock broker responsible for the same in any form or manner whatsoever.

The Stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions securities at the pre-defined square off time or when Mark to Market loss (M-T-M) reaches the speculated % or margin available with the broker is not sufficient to cover the risk or the client have not taken any steps either to replenish the margin or reduce the Mark to Market loss.

The Stock broker will have the sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (ie. short /long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs, in addition to this, the client will have to pay penalties and charges levied by the exchange in actual and losses. If any without prejudice to the foregoing, the client shall also be solely liable for all any penalties and charges levied by the exchange(s).

8. Temporarily suspending (dormant accounts) or closing a client's account at the client's request

If an account is inactive for 12 months and more, the accounts are designed as dormant accounts. Also the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement. Same procedure is followed for reactivation of dormant accounts.

9. Deregistering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;

(iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;

(v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the stock broker;

(vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;

vii) If the Client is in breach of any term, condition or covenant of this Agreement;

(viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Securities;

(ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;

(x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

(xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

(xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

10. Inactive Client account: Client account will be considered as inactive if the client does not trade for period of six months. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the securities/ credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

11. Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. Client understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in broker back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond broker control and may result in delay in processing or not processing buy or sell Orders either in part or in full. Client shall be fully liable and responsible for any such problem/fault.

12. Client Acceptance of Policies and Procedures stated herein above:

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

TARIFF SHEET

NSE/BSE BROKERAGE TARIFF STRUCTURE

Brokerage	NSE/BSE Cash		NSE/BSE F&O		BSE Currency	
	Min	In	Min	In	Min	In
	(Paise)	(%)	(Paise)	(%)	(Paise)	(%)
Intraday Brokerage	0.03	0.03	0.03	0.03	0.03	0.03
Delivery Brokerage	0.30	0.30	0.03	0.03	0.03	0.03
Options(BSE Currency and NSE ,BSE F&O Per Lot)	59.00	59.00	59.00	59.00	59.00	59.00

***Brokerage will be charged within the limits prescribed by SEBI/ Exchanges.**

Terms & Conditions

- Statutory and regulatory charges will be levied at actual.
- Brokerage will be charged in % age on transactions value basis shown as above.
- GST, Exchange TO charges, SEBI fees, Clearing charges, Stamp duty, STT, CTT, etc. will be levied as prevailing rate and are subject to change from time to time.
- Any other levy which may be imposed by Govt./SEBI/Exchange shall be charged extra at specified rate.
- Late Pay-in of funds charges shall be applicable as mentioned in 'Policies and Procedures' of Nirman Share Brokers Pvt Ltd
- Brokerage is also charged on expired, exercised and assigned option contracts. Turnover for option contract calculated as (Strike price + Premium) x Lot size.
- In case of scrip price less than Rs 100 then brokerage shall be charged at 0.05% or Minimum defined brokerage x traded quantity whichever is higher.
- Physical contract note will be charged at Rs. 20 per contract note + courier charges as actual.
- In case of account opening welcome kit physical cover shipment delivery gets failed due to client side error reason; re-empt of delivery cost of Rs. 100 will be levied to trading ledger of the client.
- In case of ECN or Margin/Monthly/Quarterly Transactions/Ledger Statements email get bounced, Rs. 50 per contract note or Statement including delivery cost will be levied to the trading ledger of the client.
- Stop payment of Cheque by client Or Cheque dishonor/bounced irrespective of any reason will attract penalty of Rs. 500 plus taxes.
- Trading account holder authorize Nirman Share Brokers Pvt Ltd to recover Demat charges payable to Nirman Share Brokers Pvt Ltd Depository by debit entry in sale bill and/or by debit to his/her trading ledger account.
- Charges against usage of other value added services will be applicable at the same of availing service and the same will be debited into the trading ledger of the client. Detailed explanation of all charges available on www.nirmanbroking.com
- Nirman Share Brokers Pvt Ltd the right to square off or liquidate client's trading/delivery position in case of on screen pure risk loss value cross 70% of the ledger balance. (Ledger balance = Clear available credit balance of trading ledger, Cheque Deposited but clearing status awaited or online fund transferred using NEFT/RTGS/IMPS but not yet identified/verified by Nirman Share Brokers Pvt Ltd banker will not be considered as credit value of ledger balance).
- Nirman Share Brokers Pvt Ltd reserves the right to modify/cancel/revise any of the charges/services or terms and conditions at its sole discretion mentioned herein above by publishing/displaying the same on its back office interface/website and/or by conveying same on registered mobile or email id of clients by giving 30 days advanced intimation prior to implement.

Client Signature

DISCLOSURE INFORMATION (FOR NIRMAN SHARE BROKERS PVT. LTD.)

To,

Dear Sir/Madam

This is to inform you that we do client based trading in National Stock Exchange of India Ltd (NSE) and Bombay Stock Exchange of India Ltd (BSE).

For **NIRMAN SHARE BROKERS PVT. LTD.**

I/We acknowledge the receipt of the information given by Nirman Share Brokers Pvt Ltd. That they do client based trading.



[Handwritten Signature]

Authorised Signatory / Director

Client Signature

SCHEDULE OF CHARGES FOR DEPOSITORY SERVICES (INDIVIDUAL)

NIRMAN SHARE BROKERS PVT LTD Regd./Corp. Office: Nirman Share Brokers Pvt. Ltd. "NIRMAN HOUSE" 8, Zone-1,M. P. Nagar, Bhopal - 462011

Particulars	Plan 1 <input type="checkbox"/>	Plan 2 <input type="checkbox"/>
Annual maintenance	Lifetime AMC Rs.2000/-	Rs. 360/- for first month Next 11 Month free
One time non refundable	Nil	Nil
Advance deposit refundable	Nil	Nil
Off market trade transfer within Nirman	Min Rs.20/ is in or 0.03% of the marketvalue	Min Rs.20/ is in or 0.03% of the marketvalue
On/Off market trade transfer outside	Min Rs.50/ is in or 0.03% of the marketvalue	Min Rs.50/ is in or 0.03% of the marketvalue
On market early autopay-in either from Nirman's any a/c or client's beneficiary account with Nirman	Rs.40/ ISIN for non POA transcation OR 0.03% of the market value	Rs.40/ ISIN for non POA transcation OR 0.03% of the market value
Dematerialisation or materialization	Rs.10/ cert	Rs.10/ cert
Postage per demat request	Rs.50/-	Rs.50/-
Pledge mark/unmark	Rs.25/ ISIN or 0.03% of the market value	Rs.25/ ISIN or 0.03% of the market value
KRA charges	Nil	Nil
DIS issuance	Rs.25/-	Rs.25/-
Statement charges	Rs.25/-	Rs.25/-
Demat profile modification	Nil	Nil
POA stamp franking charges	As per actual	As per actual
CMR request st (first CMR copy is free)	Nil	Nil
Urgent transaction charges	Nil	Nil
Demat plan change processing fee	Nil	Nil

Notes :

1. Power of attorney (poa) charges Rs 100/- one time only at time of account opening.
2. For availing 'easiest facility of cdsi, the charges as levied by cdsi would be collected from clients as actual.
3. Cdsi levies dematerialization charges as higher of the following:
 - i) a fee of rs10/-for every 100 securities or part thereof:
 - ii) a flat fee of rs 10/- per certificate.
4. Gst, education cess and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.

Detailed explanation of all the charges is available online at:

<https://nirmanbroking.com/files/download-files/pricing.pdf>

ELECTRONIC CONTRACT NOTE (ECN) DECLARATION

To,
NIRMAN SHARE BROKERS PVT. LTD.
NIRMAN HOUSE 8, Zone-1, M. P. Nagar
Bhopal - 462011

Dear Sir,

I _____ a client with member NIRMAN SHARE BROKERS PVT. LTD. of NSE & BSE Exchange undertakes as follows:

- I am aware that the member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the member has to provide electronic contract note for my convenience on my request only
- Though the member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me
- have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operation.
- My email id is*
This has been created by me and not by someone else
- I am aware that this declaration form should be in English or in any other Indian language known to me
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.
- I/We am/are aware that this authorisation can be revoked any time by giving a notice in writing.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

(The email id must be written in own handwriting of the client)

Client Name :

Unique Client Code :

PAN :

Address :

Client Signature :

Date :

Place :

Verification of the client signature done by

Name of the designated officer of the Member

Signature



LETTER OF AUTHORITY

To,
NIRMAN SHARE BROKERS PVT. LTD.
NIRMAN HOUSE 8, Zone-1,M. P. Nagar
Bhopal - 462011

Client Name :
Client Code :
Date :

Dear Sir,

Sub : Letter of Authority

I / We am / are dealing in Securities with you at NSE & BSE in order to facilities ease of operations, I / We authorize you as under:

1. I / We authorise you to setoff outstanding in any of my accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the same or other Exchange(s) and/or against the value of cash margin or other collateral provided to you by me / us.
2. I / We hereby authorise you to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I / We shall get the required details from contracts issued by you.
3. I / We request you to consider my / our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me / us all the confirmation on telephone unless instructed otherwise in writing. I / We am / are getting required details from contracts issued by you.
4. I / We agree and understand that the margin deposited by me/us is interest free and Nirman Share Brokers Pvt. Ltd. shall not be liable to pay any interest thereon to me/us.
5. I / We request that you may send/dispatch my / our statement of accounts and other documents through E-mail : on my designated email address of
6. I / We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of email to me and will not dispute the same.
7. I / We will inform you the change in my / our e-mail, if any, in future either by telephonically / post / email
8. I / We confirm that I / We will not sublet the trading terminal on any term of connectivity from my / our place under any circumstances.
9. I / We shall abide by the rules regulations/guidelines circulars of the exchange issue from time to time as applicable and shall be liable for non-adherence
10. All fines/penalties and Nirman Share Brokers Pvt. Ltd. due to my acts/deeds or transactions will be recovered by Nirman Share Brokers Pvt. Ltd. from my account.
11. I/We have been explained that I/We may not opt to give any of the above authorisation and that the above authorisations are voluntary on my/our part and that I/we can revoke this authorisation at any point of time during the operation of my/our trading account with you by giving you a notice in writing.
12. I/We agree that any loss due to any erroneous entry / erroneous order modification shall be entertained only to the extent of insurance claim received.
13. I/We agree that any MTM loss on open positions should be adjusted against the initial deposit maintained in cash by me/us with you.
14. With reference to Trading Account opened with you for the purpose of dealing in Securities Derivatives Segment of the Exchange. In case of default in daily margin or failure to fulfill in any additional margin requirement stipulated by you (including levied by the Exchanges) or if any outstanding debt occur in my/our account, I/We irrevocably authorize you to close out/liquidate whole or any part of my/our position without prejudice to your right to refer the matter to Arbitration. Any or all losses and financial charges on account of such liquidation/closing out, etc. shall be charged to and borne by me/us. If due to power failure, connectivity failure, circuit breakers, lack of market depth or any other reason, my/our open trade is not squared off on the same day, you may square off the same on subsequent trading session.

Thanking you,
Your faithfully

Client Signature

RUNNING ACCOUNT AUTHORISATION

To,
NIRMAN SHARE BROKERS PVT. LTD.
NIRMAN HOUSE 8, Zone-1,M. P. Nagar
Bhopal - 462011

Client Name :
Client Code :
Date :

Dear Sir,

I/We are dealing through you as a client in securities segment and in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under

1. I/We request you to maintain running balance in my account and retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other obligation(s) in any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise
2. I/We request you to retain securities / with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my account

Once in every calendar Quarter or

Once in a calendar Month

Except the funds given towards collaterals/ margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet future margin obligations, calculated in the manner specified by the Exchange(s) / SEBI
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be.
6. I/We further authorize you to retain such other minimum amount as may be prescribed by Exchange/ Regulatory Authority from time to time. The same may be released on my/our specific request.
7. I/We have been informed by the member that it shall transfer the funds / securities lying in the credit of the client within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation.
8. I/We have been informed by the member that there shall be no inter-client adjustments for the purpose of settlement of the 'running account'.
9. I/We agree that Nirman Share Brokers shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds

The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Client Signature

Client Code

REQUEST FOR TRADING IN SECURITIES / DERIVATIVES ON NSE/BSE

To,
NIRMAN SHARE BROKERS PVT. LTD.
NIRMAN HOUSE 8, Zone-1, M. P. Nagar
Bhopal - 462011

Dear Sir,

Subject : My / Our request for trading in securities / derivatives on NSE/BSE as your client

I/We, the undersigned, have taken cognizance of circular no. BSE issued by the Bombay Stock Exchange (BSE) Pvt. Ltd. NSE/BSE on the guidelines for calculation of net open positions permitted in any securities and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits as may be prescribed from time to time by NSE/BSE or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of NSE/BSE as modified from time to time.

I/We undertake to inform you and keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUF's/Trusts in which I or any of above such person is a partner/director/ karta/trustee, takes or holds any position in any securities forward contract/securities through you or through any other member(s) of NSE/BSE to enable you to restrict our position limit as prescribed by the above referred circular of NSE/BSE as modified from time to time.

I/We confirm that you have agreed to enter orders in securities securities/us as your clients on NSE/BSE only on the basis of our above assurances and undertaking.

Yours faithfully

Sole Proprietor/Partner/Director/Karta/Trustee

MOBILE DECLARATION

I, _____ I having Client Code No _____ do hereby declare that my mobile no. is _____

Further, I authorize Nirman Share Brokers Pvt. Ltd. that the same maybe used for giving me any information/alert/sms/call.

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

Client Signature :

Name of the Client :

Dated :

FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND E-MAIL ADDRESS

To,
The Compliance Officer
NIRMAN SHARE BROKERS PVT. LTD.
NIRMAN HOUSE 8, Zone-1,M. P. Nagar
Bhopal - 462011

Date :
Member Id's :
NSE- 12309 , BSE- 956

I/We am/are aware that NSE/BSE provide SMS/email alerts to the constituents (clients) of its member for trades executed on its platform. I/We hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I want to receive transaction alerts in SMS as well as email from Exchanges.
- I want to receive transaction alerts only in SMS from Exchanges.
- I want to receive transaction alerts only in Email from Exchanges.
- I do not want to receive any transaction alerts from Exchanges, specify reason

The alerts should be sent on :

Mobile number :
E-mail Id :

I/We agree to the terms and conditions specified by the Exchange in its circular no. SEBI/4/2012/C/13 dated 02/02/2012 as modified from time to time. I/We am/are aware that the receipt of SMS/E-mail alerts on the above mobile number and/or email address can be stopped only on my/our written request.

Name of the Client :
Client Id : -----

Client Signature

VERBAL ORDER ACCEPTANCE AUTHORISATION

To,
NIRMAN SHARE BROKERS PVT. LTD.
NIRMAN HOUSE" 8, Zone-1,M. P. Nagar
Bhopal - 462011

Date

Dear Sir,

I/we am dealing with you as client at NSE/ in Capital / securities/derivatives segments. As my/ our broker i.e. agent I/We direct and authorize you to carry out trading/ dealing on my/ our behalf as per instructions given below
I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/ modification and cancellation in writing and to avoid disputes, I/We must give instruction in exactly the format given below in duplicate (carbon copy/ photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/ photocopy of the instructions in acknowledgment of receipt of my our instructions. /
However as I/We shall be dealing by ordering overphone and even if we visit the branch, the fluctuations in market are so rapid the it is not practical to give written instructions for order placement/ modification and cancellation, I/We hereby authorize you to accept my/ our authorized representative's verbal instructions for order placement/ modification and cancellation in person or over phone (fixed line/ mobile phone) and execute the same. I/ We understand the Risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement/ modification and cancellation of orders through telephone recording or otherwise.
I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you
, Yours faithfully

DISCLOSURE BY MEMBER TO CLIENT UNDER PMLA 2002

Dear Client,

Subject : Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden. It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or apart of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti- money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with SEBI, which includes a Stock Brokers and any other intermediary associated with Market. As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

DISCLOSURE BY CLIENT UNDER PMLA 2002

Client Name :

Details of the Corporate/Partnership Firm/Trust/etc. where I/we am/are affiliated

S.No	Name	Entity Type	Nature of Business	Relationship	PAN

I/We hereby submit and agree to submit as the commitment every financial year the following documents to Nirman Share Brokers Pvt. Ltd.

1. Audited Annual Accounts
2. Self attested copy of Income Tax Return or
3. Any other Financial information as requested by the Nirman Share Brokers Pvt. Ltd.

I/We further confirm that I/we invest in the Stock Market with:

- My/our owned funds

I/We hereby declare that I/We am/are not doing any benami transactions in my/our account. I/We understand that in case of any Cash/ Suspicious/ Benami transactions being observed into my account, the Member may report the same to Director FIU-IND, New Delhi under the provisions of PMLA, 2002 and thereafter I/we will be liable for any enquiry or penalty which might be levy by the Regulatory Authority under the said Act.

Client Signature :

UNDERTAKING TO ACT IN OWN CAPACITY

I/We do hereby solemnly affirm and declare as under :

1. That my/our registration with Nirman Share Brokers Pvt. Ltd. is in individual capacity and is for transacting on my/our own account. And that no one except myself/ourselves has/have any interest in the account with Nirman Share Brokers Pvt. Ltd.
2. That I/We shall not be acting further as an intermediary / sub-broker in any manner whatsoever for the transactions executed in any segment of any security exchange(s) in my/our account with Nirman Share Brokers Pvt. Ltd.
3. That I/We further state that if anybody on my/our behalf makes claim of any amounts / securities on account of the transactions in my/our account, the said act shall be null and void and shall be ineffective from all corners
4. In case Nirman Share Brokers Pvt. Ltd. finds that I/We am/are acting as an un-registered Sub-broker, Nirman Share Brokers Pvt. Ltd. can immediately cancel my/our account with them and adjust all credit against my/our liabilities.
5. That I/We shall inform Nirman Share Brokers Pvt. Ltd. of any of my/our registration in any capacity with any other member of the exchange(s) to transact on the same segment as at Nirman Share Brokers Pvt. Ltd.
6. I/We shall not make any payment to Nirman Share Brokers Pvt. Ltd. drawn on the account of any third party whether related to me/us or not. All payments to my/our above A/c shall be from bank accounts that stand in my/our own name and registered with Nirman Share Brokers Pvt. Ltd.
7. I/We shall not make any cash payment to Nirman Share Brokers Pvt. Ltd. nor shall I/We insist on any sales person/business associate to accept cash in lieu of account payee cheque/fund transfer. I/We understand that Nirman Share Brokers Pvt. Ltd. does not accept cash from clients and therefore any cash payment made by me/us to any staff shall be at my/our sole risk and I/We absolve Nirman Share Brokers Pvt. Ltd. of all liability and claim that may arise from any cash payment made by me/us.
8. I/We have been made understood by Nirman Share Brokers Pvt. Ltd. that it does not permit any of its employee to place any discretionary orders in the account of any client therefore I/We must not authorise any of Nirman Share Brokers Pvt. Ltd. staff member to place any discretionary order under any circumstances in my / our trading account and that Nirman Share Brokers Pvt. Ltd. limits its liability in the event of I/we giving any such authorisation to any of the Employee of Nirman Share Brokers Pvt. Ltd. .

Client Signature

Name :

Client Code

SCRUTINY SHEET

Cover Page(Front)	Yes	No	Trading Preference	Yes	No
1. Is Branch Code and RM Code filled clearly? Cover Page (Back)	<input type="checkbox"/>	<input type="checkbox"/>	1. Signature are there against each segment	<input type="checkbox"/>	<input type="checkbox"/>
2. Is Trading Platform properly ticked?	<input type="checkbox"/>	<input type="checkbox"/>	1. Is Branch Code and RM Code filled clearly? applied.	<input type="checkbox"/>	<input type="checkbox"/>
3. If derivative segment is applied by client then Acknowledgement Sheet	<input type="checkbox"/>	<input type="checkbox"/>	2. Tick against each sign is there	<input type="checkbox"/>	<input type="checkbox"/>
3. Is Client Signature proper? to Client. Index Page	<input type="checkbox"/>	<input type="checkbox"/>	3. If derivative segment is applied by client then	<input type="checkbox"/>	<input type="checkbox"/>
4. Is Client Signature proper?	<input type="checkbox"/>	<input type="checkbox"/>	RM has explained the Basics of Derivative Trading to Client.	<input type="checkbox"/>	<input type="checkbox"/>
1. Each column is properly filled and RM/ Pro Disclosure Information	<input type="checkbox"/>	<input type="checkbox"/>	Introducer Detail :	<input type="checkbox"/>	<input type="checkbox"/>
5. Is Client Signature proper?	<input type="checkbox"/>	<input type="checkbox"/>	1. Each column is properly filled and RM/Introducer's signature is there	<input type="checkbox"/>	<input type="checkbox"/>
KRA - Client Basic Details			2. Introducer code and name is matching with as mentioned on Front Cover page	<input type="checkbox"/>	<input type="checkbox"/>
1. Is PAN number filled here matching with PAN Card copy?	<input type="checkbox"/>	<input type="checkbox"/>	Tariff Sheet	<input type="checkbox"/>	<input type="checkbox"/>
2. Is PAN Verification stamp affixed on PAN Card copy?	<input type="checkbox"/>	<input type="checkbox"/>	1. No cutting/Fluid/overwriting is there on brokerage page	<input type="checkbox"/>	<input type="checkbox"/>
3. Is Client Name, Address, PIN Code filled	<input type="checkbox"/>	<input type="checkbox"/>	2. Check client signature is there at proper place	<input type="checkbox"/>	<input type="checkbox"/>
4. Is Email id filled clearly in Capital Letters?	<input type="checkbox"/>	<input type="checkbox"/>	General instructions : Documents / attachments	<input type="checkbox"/>	<input type="checkbox"/>
5. Check Mobile filled here is of client only?	<input type="checkbox"/>	<input type="checkbox"/>	1. Are all documents- (a) Clearly visible, (b) Self attested, (c) Verified with Original?	<input type="checkbox"/>	<input type="checkbox"/>
6. Is correct address proof attached for address?	<input type="checkbox"/>	<input type="checkbox"/>	2. Attach all other documents at last page.	<input type="checkbox"/>	<input type="checkbox"/>
7. IPV details are filled completely?	<input type="checkbox"/>	<input type="checkbox"/>	3. Before attaching documents Arrange them as :	<input type="checkbox"/>	<input type="checkbox"/>
8. No column is blank on KRA page	<input type="checkbox"/>	<input type="checkbox"/>	1st - Pan Card Copy-duly signed by client and Verified by RM/AP	<input type="checkbox"/>	<input type="checkbox"/>
Bank Detail			2nd - If photo at Pan Card is not clear than attach another photo id proof	<input type="checkbox"/>	<input type="checkbox"/>
1. Is Bank Account number matching with bank attach another photo id proof proof?	<input type="checkbox"/>	<input type="checkbox"/>	3rd - Address Proof	<input type="checkbox"/>	<input type="checkbox"/>
2. MICR and IFSC Code is filled clearly in KIT?	<input type="checkbox"/>	<input type="checkbox"/>	4th - Bank Proof	<input type="checkbox"/>	<input type="checkbox"/>
3. Is name printed canceled cheque leaf attached?	<input type="checkbox"/>	<input type="checkbox"/>	5th - Other proofs is required.	<input type="checkbox"/>	<input type="checkbox"/>
4. If no is answer to Point 3 then is Pass book or 4. Stamp of IPV is clearly visible as all required bank statement copy attached?	<input type="checkbox"/>	<input type="checkbox"/>	4. Stamp of IPV is clearly visible as all required locations	<input type="checkbox"/>	<input type="checkbox"/>
5. Last transaction should not be more than 3 month old	<input type="checkbox"/>	<input type="checkbox"/>	5. Stamp of Verified with Original is clearly visible as all required locations	<input type="checkbox"/>	<input type="checkbox"/>
			6. Keep a copy of this Scrutiny sheet at Branch for future reference.	<input type="checkbox"/>	<input type="checkbox"/>

VERIFICATION CARRIED OUT BY - Branch

VERIFICATION CARRIED OUT BY - Head Office - KYC Department

Date :

Emp. Name :

Emp. Code :

Emp. Designation :

Emp. Branch :

Date :

Emp. Name :

Emp. Code :

Emp. Designation :

Emp. Branch :

Additional KYC Form for Opening a Demat Account

Nirman Share Brokers Pvt. Ltd.
 CDSL DPID-12059500 SEBI REGN.NO.IN-DP-CDSL-494-2 0 0 8
 Corp Office : NIRMAN HOUSE 8, Zone-1,M. P. Nagar, Bhopal - 462011
 Phone : +0755-4311111, 4260000, 4077777, Email:
 info@nirmanbroking.com



(To be filled by the Depository Participant)

Application No.								Date								
DP Internal Reference No																
DP ID	1	2	0	5	9	5	0	0	Client ID							

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

Holder's Details

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

Name *	_____
---------------	-------

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

Type of Account (Please tick whichever is applicable)

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

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 checked="" type="checkbox"/> Yes <input type="checkbox"/> NO
We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> NO
Account Statement Requirement	<input checked="" type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I want to send Electronic Transaction-cum-Holding Statement at the email ID			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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

Bank Details [Dividend Bank Details]

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

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

Other Details Gross Annual Income details	Income Range per annum: <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 <input type="checkbox"/> More Than Rs. 1 crore																		
	Net worth as on (Date) <input type="text"/>																		
	[Net worth should not be older than 1 year]																		
Occupation	Private <input type="checkbox"/> 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) <input type="text"/>																		
Please tick,if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to Politically Exposed Person (PEP)																		
Any other information:																			

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

IN CASE OF NRIs/FOREIGN NATIONALS

RBI Approval Reference Number	
RBI Approval Date	

CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of Stock Exchange				
Name of CC / CH				
Clearing Member ID	Trading Member ID			
SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	Mobile No. : [Mandatory, if you are given power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option)		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Transactions Using Secured Texting Facility (TRUST) Refer to Terms 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 the same.		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
	I wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.			
	S.NO.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
	1.			
	2.			
3.				
4.				
5.				
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		<input type="checkbox"/> Yes <input type="checkbox"/> No	

The mobile number mentioned here belongs to name of relative
 Self Spouse Dependent parent Dependent children PAN of relative

The email ID mentioned here belongs to name of relative
 Self Spouse Dependent parent Dependent children PAN of relative

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

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

(Signatures should be preferably in blue ink)

Combined Registration Form for availing SMS Alert and/or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST Facility

To,

Dear Sir/Madam

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

- a. SMART - SMS alert facility
- b. TRUST - Transaction using Secured Texting Facility

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

BOID:			
-------	--	--	--

(Please write your 8 digit Client ID)

(Please write your 8 digit Client ID)

Sole/First Holder's Name :

Second Holder's Name

Third Holder's Name

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

Sr.No.	Stock Exchange Name/ID.	Clearing Member Name	Clearing Member ID (Optional)
1			
2			
3			
4			
5			

Mobile No. on which messages are to be sent	
---	--

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

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

The Mobile Number is registered in the name of
Email ID :

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

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

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

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

E-signed by :

Signature of sole/First Holder

Signature of Second Holder

Signature of Third Holder

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

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

i. "Depository" means Central Depository Services (India) Limited (CDSL)

ii. TRUST means Transactions Using Secured Texting" service offered by the Depository.

iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO. iv. "Service" means the service of providing facility to receive give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.

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.

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.

9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.

10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

11. The BO further acknowledges that the BO CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.

12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

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

14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party

15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.

16. The BO is solely responsible for ensuring that the mobile number is not 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.

Signature of sole/First Holder

Signature of Second Holder

Signature of Third Holder

Nirman Share Brokers Pvt. Ltd.
CDSL DPID-12059500 SEBI
REGN.NO.IN-DP-CDSL-494-2 0 0 8
Corp Office : NIRMAN HOUSE 8, Zone-
1, M. P. Nagar, Bhopal - 462011
Phone : 0755-4311111, 4260000,
4077777 *Email:
info@nirmanbroking.com

Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CSDL

Definitions:

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

Fees, Charges and deposits

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. Tower, 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 invest
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. 'Alerts' means a customized SMS sent to the BO over the said mobile phone number.
6. 'Service Provider' means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
7. 'Service' means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The service 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 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 services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or in accuracy. In case of BO obs BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the errors 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 an account to avail SMS alerts facility.
5. The BO authorized 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.

Signature of sole/First Holder

Signature of Second Holder

Signature of Third Holder

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 nonavailability 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 change 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 warrant 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 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 a 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, changes and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

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

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

DP ID:	12059500	BOID:	
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Sole/First Holder's Name :

Second Holder's Name

Third Holder's Name

Mobile No. on which messages are to be sent +91

(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)

Signature of sole/First Holder

Signature of Second Holder

Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).

Place / Date /

OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID	12059500	Client ID	
First Holder Name			
Second Holder Name			
Third Holder Name			

To _____ Date :

Dear Sir/Madam,

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

OPTION 1:

I/ We request you to issue Delivery Instruction Slip (DIS) booklet to me / us on opening my / our CDSL account through I/ We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with attorney / Clearing Member / PMS manager for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

OPTION 2:

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/ DDPI/registered for eDIS in favour of Nirman Share Brokers Pvt. Ltd. for executing the delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Clearing Member/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.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature			

DECLARATION FOR AVAILING OF BASIC SERVICE DEMAT ACCOUNT (BSDA) FACILITY

To _____ Date _____

Nirman Share Brokers Pvt. Ltd.

Regd. Office : NIRMAN HOUSE 8, Zone-1, M. P. Nagar, Bhopal - 462011

Dear Sir/Madam,

I We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form.

I We do not wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form.

DP ID		Client ID	
	NAME	PAN	
Sole/First Holder			
Second Holder			
Third Holder			

I/ We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time.

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

I/We, the first/ sole holder also hereby declare the I/We do not have /propose to have any other demataccount across depositories as a first/sole holder.

	First / sole Holder	Second Joint Holder	Third Joint Holder
Signature			

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

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

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

Transfer of Securities

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

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

Statement of account

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

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

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

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

Manner of Closure of Demat account

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

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

Default in payment of charges

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

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

Liability of the Depository**21. As per Section 16 of Depositories Act, 1996,**

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

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

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

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

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

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

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

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

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



NIRMAN SHARE BROKERS (PVT.) LTD. [CIN NO. U67120MP2001PTC14523]

Nirman House. 8, M.P. Nagar, Zone-I, Bhopal – 462011 (M.P.)

Ph.:0755-4260000, 4077777, Fax: 0755-4288800

E-mail: info@nirmanbroking.com Website: www.nirmanbroking.com

Depository Participant ID-12059500 SEBI REGN.IN DP- CDSL-494-2008



CDSL

NOMINATION FORM (To be filled in by individual applying singly or jointly)

Nomination for Eligible Trading and Demat Accounts

Date	D	D	M	M	Y	Y	Y	Y	DP ID	1	2	0	5	9	5	0	0	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 up to 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]					%							%							%							
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																												
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 Minor																											
						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]																											
						<input type="checkbox"/> Photograph & Signature																						
						<input type="checkbox"/> PAN																						
						<input type="checkbox"/> Aadhaar																						

Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

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

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

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

Declaration From for opting out of nomination Trading and Demat Account

Annexure B

To NIRMAN SHARE BROKERS PVT. LTD.	Date								
Trading Code									
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 trading/demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that incase 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 trading/demat account, which may also include documents issued by Court or other such competent authority , based on the value of assets held in the trading/demat account.

Name and Signature of Holder(s)*

1.First Holder Name:	Signature :
2.Second Holder Name:	Signature
3.Third Holder Name:	Signature

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

DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per Income Tax	
Name as per Bank Proof	
Name as per Address Proof	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information. I agree to indemnify and keep Nirman Share Brokers Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by Nirman Share Brokers Pvt. Ltd. for any act done or omitted to be done on the above declaration.

Client Signature

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Declaration for Confirmation of Signature (Voluntary)

NIRMAN SHARE BROKERS PVT. LTD.
NIRMAN HOUSE 8, Zone-1,M. P. Nagar
Bhopal - 462011

Subject: **Declaration for Confirmation of Signature**

Dear Sir/Madam,

The letter is to confirm that all the signatures placed on the account opening forms, and all such other documents towards Nirman Share Brokers Pvt. Ltd. or any of its group entities, are done solely by me with complete knowledge of all such terms and clauses contained therein.

I/We , the undersigned, would like to request Nirman Share Brokers Pvt. Ltd. or any of its group entities to accept the signed account opening forms and documents, even in case there may be slight variations on a few pages/areas of the document.

Signature uploaded:

I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards Nirman Share Brokers Pvt. Ltd. or any of its group entities by me/us, I/We will indemnify Nirman Share Brokers Pvt. Ltd. and its directors/employees/agents for all such actions.

Yours Faithfully,

Name

Date

Date									
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Signature of the Client

END OF SECTION



UCC Code

NIRMAN SHARE BROKERS (PVT.) LTD.

DDPI MASTER No. :- 220595000000032

DDPI REGISTRATION No.....

Demat Debit and Pledge Instruction

This Demat Debit Pledge Instruction (DDPI) is made at to all to whom these presents shall come, I/We(name of the beneficial owner/s), residing at/ having its registered office atsend greetings. Whereas I/We hold a beneficiary Account no..... (16 Digit Bo-ID) with Central Depository Services (India) Limited (CDSL) through Depository Participant NIRMAN SHARE BROKERS PVT LTD. bearing DP-ID 12059500 having its registered office at Nirman House , 8 Zone-1 , M.P. Nagar Bhopal 462011 (M.P.) and I/We am/are investor(s) engaged in subscribing to and buying/selling of shares, securities and other financial products and services through NIRMAN SHARE BROKERS PVT LTD. who are stock brokers/ trading members of Stock Exchanges and are registered with the Securities and Exchange Board of India. And whereas I/We am/are desirous of executing Demat Debit Pledge Instruction (DDPI) in favour of NIRMAN SHARE BROKERS PVT LTD. to access our Beneficial Owner Account 12059500..... (16 digit BO-ID) for the following.

Sr. No.	Purpose	Signature of Client (Sign separately for each clause)		
		First Holder Individual / If Client is Non Individual	Second Holder	Third Holder
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.			
2	Pledging/re-pledging of securities in favour of trading member(TM)/Clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4	Tendering shares in open offers through Stock Exchange platforms			

* The same may be eSigned or signed physically

Note: In case of HUF all Co-Parceners must sign this document.

The above authority to transfer/pledge is restricted to the following accounts as listed in the Schedule. The list of accounts may be updated/ amended by proper communication.

SCHEDULE : Extract of the list of accounts

Sr. No.	Account Number	Account Name
1.	1205950000000124	BSE Pool Account and BSE Pay in Account
2.	1100001000014221(BSE) 1100001100018771(NSE)	Early Pay-in Account
3.	1205950000000099	NSE Pool Account
4.	1205950000110944	Margin Pledge Securities Account/s (applicable to accept securities of margin pledge transactions)

And whereas I/ We further agree that I/We have been informed that DDPI is a voluntary document and I/We can revoke/cancel the DDPI facility anytime in future. However, such revocation shall not be applicable for any outstanding settlement obligation arising out of trades carried out prior to receiving request for revocation. The request of revocation is to be sent in a manner as prescribed by Exchanges/SEBI from time to time.

Date -

Place- Bhopal

Nirman Share Brokers Pvt Ltd.



(Authorised signatory)

Note- The existing POAs shall continue to remain valid till the time client revokes the same. Thus, the stock broker/stock broker and depository participant shall not directly / indirectly compel the clients to execute the DDPI or deny services to the client if the client refuses to execute the DDPI. Also, as mentioned in point no. 1.1 above, POA is optional and should not be insisted upon by the stock broker / stock broker depository participant for opening of the client account. A clause in this regard shall be incorporated under the sub-heading 'Additional Rights And Obligations' of the Rights and Obligations Document (Annexure-4 of SEBI circular no. CIR/MIRSD/16/2011 dated August 22, 2011) and shall read as under:

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



NIRMAN SHARE BROKERS (PVT.) LTD. [CIN NO.U67120MP2001PTC14523]

Nirman House Plot No. 8, M.P. Nagar, Zone-I, Bhopal – 462011 (M.P.)

Ph.:0755-4260000, 4077777, Fax: 0755-4288800.

E-mail: info@nirmanbroking.com Website: www.nirmanbroking.com

Depository Participant ID-12059500 SEBI REGN.IN DP- CDSL-494-2008

Declaration for availing of Basic Services Demat Account (BSDA) facility



Date:

D	D	M	M	Y	Y	Y	Y
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Dear Sir / Madam,

- I / We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form
- I / We wish to avail the BSDA facility for my / our below mentioned demat account number
- I not/ We not wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form

DP ID	1	2	0	5	9	5	0	0	Client ID										
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	Name	PAN																	
Sole/First Holder																			
Second Holder																			
Third Holder																			

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

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

	Signature
Sole/First Holder	
Second Holder	
Third Holder	

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

Acknowledgement Receipt

Received BSDA declaration form from:

DP ID	1	2	0	5	9	5	0	0	Client ID										
Name																			
Address																			

Date :

Depository Participant Seal and Signature