

# INDIVIDUAL ACCOUNT OPENING FORM TRADING & DP

Aionion Capital Market Services Private Limited

<b>Branch Name</b>		<b>Form No</b>	
<b>Branch Code</b>		<b>BO ID</b>	
<b>Version No</b>	<b>1.1</b>	<b>Client UCC</b>	
		<b>Client Name</b>	



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KYC CHECKLIST	
Acceptable Documents should be clearly visible (Copies of all documents to be self attested)	
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES	
PAN Card	Account Holder & Joint Holder's (If any)
Photograph	One Colored Front Face Photograph on photographic Paper (Passport Size)
Additional Proof of Identity (Any One) (If Pan card not visible OR Pan card sign & signature in KYC form are different)	1. Unique identification number (UID) (Aadhaar)
	2. Valid Passport and Driving License (Name, Address & Photo page)
	3. Voter ID (front and back)
	4. PAN Card
	5. NREGA Job Card
	6. Other (Pls. Specify)
Proof of Address (Any One) Permanent / Correspondence	1. Valid Passport and Driving License (Name, Address & Photo page)
	2. Voter ID (front and back)
	3. Unique identification number (UID) (Aadhaar)
	4. Bank Statement/Passbook (not more than 2 months old) / Banker's Verification Letter
	5. Electricity or Resident Landline Tel. Bill (not more than 2 months old)
	6. Registered Flat Sale Agreement of Residence or Registered Lease/Leave & License Agreement
	7. Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address
	8. Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies
Bank Proof With MICR / IFSC Code (1st Holder only)	1. Bank Statement / Bank Passbook with cheque leaf (not more than 2 months old)
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)
	3. Cancelled Personalized Cheque leaf
Demat Proof (1st Holder only)	1. Client Master
	2. DP Statement
	3. Transaction cum Holding Statement
	4. Welcome Letter
Proof of Income (Any One) (Mandatory for F&O / Currency Segments/ Commodity Derivatives Segment )	1. Copy of Latest ITR Acknowledgement
	2. Copy of Form16 or Salary Slip (not more than 3 months old)
	3. CA Certified Net-worth certificate with UDIN (not more than 1 year old)
	4. Copy of Latest Demat Account Holding Statement
	5. Bank Account Statement for last 6 months
Additional Documents for NRI/NRO	In the case of NRIs, Documents should be attested by the 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.
	Passport & Valid Visa OR Work Permit" along with Immigration stamp page
	Overseas Citizen of India "(OCI)" / Person of Indian Origin "(PIO)" Card
	Overseas Address Proof
	Proof of NRO Bank Account & PIS Permission copy
IMPORTANT INSTRUCTIONS	
1. All details to be filled in Capital Block letters in Black / Blue Ink Only. 2. Email ID & Mobile number is very important for account related passwords and transaction details. 3. Corrections in the KYC form should be counter signed. 4. All Originals to be produced for physical verification. 5. Sole proprietor must make the application in his individual name & capacity.	6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted. 7. Account will be opened as per Name appearing on Income Tax website. 8. Signature can be in English or Hindi or any of the other languages contained in the 8th Schedule of the constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or Notary Public or a Special Executive Magistrate / Special Executive officer under his/her official seal.



A. IDENTITY DETAILS`

1) NAME OF THE APPLICANT:

2. A) FATHER’S/SPOUSE NAME:

2. B) MOTHER’S NAME:

3. A) GENDER:   ☐ Male   ☐ Female   ☐ Others

3. B) MARITAL STATUS:   ☐ Single   ☐ Married

3. C) DATE OF BIRTH:

4. A) NATIONALITY:   ☐ INDIAN   ☐ OTHERS

PLEASE AFFIX A  
RECENT PASSPORT  
PHOTOGRAPH AND **SIGN**  
**ACROSS IT**  
 (1/35)

4. B) RESIDENTIAL STATUS:   ☐ Resident Individual                      ☐ Non Resident (NRI)                      ☐ Foreign National

☐ Person of Indian Origin\*                      (Passport Mandatory For NRIS, PIOs And Foreign Nationals)

5. A) PAN:

5. B) AADHAAR NO.:

6. PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES:

☐ UID (Aadhaar)   ☐ Passport   ☐ Voter ID   ☐ Driving License   ☐ Others

B. ADDRESS DETAILS

1. ADDRESS FOR CORRESPONDENC(RESIDENCE)

LANDMARK:

CITY:

DISTRICT:

PIN CODE:

STATE:

COUNTRY:

2. CONTACT DETAILS

TEL. (OFFICE):

TEL (RESIDENCE):

MOBILE:

EMAIL:

3. SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONDENCE ADDRESS:

4. PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS (MANDATORY) FOR NON-RESIDENT APPLICANT.

LANDMARK:

CITY:

DISTRICT:

PIN CODE:

STATE:

COUNTRY:

5. SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/PERMANENT ADDRESS:

6. DETAILS OF RELATED PERSON:

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

Related Person Type: ☐ Deletion of Related Person ☐ Assignee Name:

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

PROOF OF IDENTITY [POI] OF RELATED PERSON:

☐ UID (Adhaar)   ☐ PAN Card   ☐ Voter ID   ☐ Driving Licence   ☐ Passport   ☐ Others

DECLARATION

SIGNATURE OF  
APPLICANT

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/we may be held liable for it. I/We hereby consent to receiving information from KRA / CKYC through SMS/Email on the above registered number/Email address. 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/Digi locker XML file, along with passcode and as applicable, with KRA / CKYC and other Intermediaries with whom I have a business relationship for KYC purposes only.

PLACE:

DATE:

 (2/35)

FOR OFFICE USE ONLY

☐IPV Done on

AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED

☐ (Originals Verified) & Self-Certified document Copies Received

☐ Attested True Copies Of Documents Received Main Intermediary

Name & Signature of the Authorized Signatory

STAFF NAME

EMPLOYEE CODE

DESIGNATION

NAME OF THE ORGANIZATION

SIGNATURE





ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

TO BE FILLED BY THE DEPOSITORY PARTICIPANT

APPLICATION NUMBER:		DATE:	
DP INTERNAL REFERENCE NUMBER:		UCC:	
DP ID:		BO ID:	

TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)

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

HOLDER DETAILS

I/we request you to open a DEMAT account in my/our name as per following details: sole/first holder’s name

SOLE/FIRST HOLDER’S NAME			
PAN		UID	
UCC CODE		EXCHANGE NAME & ID	NSE: 90405, BSE: 6878
SECOND HOLDER’S NAME			
PAN		UID	
UCC CODE		EXCHANGE NAME & ID	NSE: 90405, BSE: 6878
THIRD HOLDER’S NAME			
PAN		UID	
UCC CODE		EXCHANGE NAME & ID	NSE: 90405, BSE: 6878

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

DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)

GUARDIAN’S NAME:			
PAN NUMBER:		RELATIONSHIP WITH THE APPLICANT:	

STANDING INSTRUCTIONS

I/We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be ‘Yes’)  
☐ Yes      ☐ No

I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be ‘No’) ☐ Yes      ☐ No


Account Statement Requirement    ☐ As per SEBI Regulation      ☐ Daily      ☐ Weekly      ☐ Fortnightly      ☐ Monthly

I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID  
☐ Yes      ☐ No      EMAIL:






I/We would like to share the email ID with the RTA ☐ Yes      ☐ No      EMAIL:

I/We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical) ☐ PHYSICAL  
☐ ELECTRONIC      ☐ BOTH PHYSICAL AND ELECTRONIC


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

	SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
 (3/35)			



TRADING & DEMAT ACCOUNT RELATED DETAILS				MANDATORY
A1. BANK ACCOUNT DETAILS (Trading & DIVIDEND BANK DETAILS) (Primary)				
ACCOUNT NO.				
BANK NAME				
BRANCH ADDRESS				
MICR CODE		IFSC CODE		
RBI APPROVAL DATE		RBI REFERENCE NO		
ACCOUNT TYPE	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others		IN CASE OF NRI ACCOUNT: <input type="checkbox"/> NRE <input type="checkbox"/> NRO	
A2. BANK ACCOUNT DETAILS(Trading & DIVIDEND BANK DETAILS) (Optional)				
ACCOUNT NO.				
BANK NAME				
BRANCH ADDRESS				
MICR CODE		IFSC CODE		
RBI APPROVAL DATE		RBI REFERENCE NO		
ACCOUNT TYPE	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others		IN CASE OF NRI ACCOUNT: <input type="checkbox"/> NRE <input type="checkbox"/> NRO	
B. DEPOSITORY ACCOUNT DETAILS				
DEPOSITORY PARTICIPANT DETAILS OF THE CLIENT				
DP NAME	DP ID	BENEFICIARY ACCOUNT NO.	BENEFICIARY NAME	
AIONION CAPITAL MARKET SERVICES PVT LTD	12100800			
C. TRADING PREFERENCES				
PLEASE SIGN IN THE RELEVANT BOXES WHERE YOU WISH TO TRADE. THE SEGMENT NOT CHOSEN SHOULD BE STRUCK OFF BY THE CLIENT.				
Exchanges	NSE & BSE			
All Segments	Cash	Debt	Mutual Fund	SLBM
 (4/35)	 (5/35)	 (6/35)	 (7/35)	 (8/35)
If you do not wish to trade in any of segments / Mutual Fund, please mention here:				
D. PAST ACTION				
Details of any action/proceedings initiated/pending/taken by SEBI / Stock exchange / any other authority against the applicant/constituent or its partners/promoters/whole time director/ authorised persons in charge of dealing in securities during the last 3 years				
E. DEALINGS THROUGH AUTHORIZED PERSON (herein referred as AP) AND OTHER STOCK BROKERS:				
IF CLIENT IS DEALING THROUGH THE AP, PROVIDE THE FOLLOWING DETAILS:				
AP NAME:		SEBI REG. NO.:		
REGISTERED OFFICE ADDRESS:				
PHONE:		WEBSITE:		
WHETHER DEALING WITH ANY OTHER STOCK BROKER/AP (IF IN CASE DEALING WITH MULTIPLE STOCK BROKERS/AP PROVIDE DETAILS OF ALL):				
NAME OF STOCK BROKER:		AP IF ANY:		
CLIENT CODE:		EXCHANGE:		
DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH STOCK BROKER/AP:				
F. ADDITIONAL DETAILS				
WHETHER YOU WISH TO RECEIVE <input type="checkbox"/> Physical Contract Note OR <input type="checkbox"/> Electronic Contract Note (ECN)				
IF ECN SPECIFY YOUR EMAIL ID:				
WHETHER YOU WISH TO AVAIL OF THE FACILITY OF INTERNET TRADING: <input type="checkbox"/> Yes <input type="checkbox"/> No'				





G. INTRODUCER DETAILS (Optional)			
NAME OF THE INTRODUCER:			
ADDRESS OF THE INTRODUCER:			
STATUS OF THE INTRODUCER:		<input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee <input type="checkbox"/> Others, please specify:	
MOBILE NUMBER:		SIGNATURE OF THE INTRODUCER:	
H. OTHER DETAILS - INFORMATION IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002			
1. GROSS ANNUAL INCOME DETAILS		<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs	
NET-WORTH IN RS. :		Net-worth in Rs. :	
		as on (date):	* Net worth should not be older than 1 year
2. OCCUPATION		<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others	
PLEASE TICK AS APPLICABLE:		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	
ANY OTHER INFORMATION:			
3. EXPERIENCE		(Number of years of Investment/Trading Experience)	
4. PURPOSE OF OPENING THE ACCOUNT:		<input type="checkbox"/> Investment <input type="checkbox"/> Trading <input type="checkbox"/> Arbitrage	
DECLARATION			
<p>1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.</p> <p>2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.</p> <p>3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.</p>			
DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH STOCK BROKER/AP:			
PLACE:		 (9/35)	
DATE:			
FOR OFFICE USE ONLY			
UCC ALLOCATED TO THE CLIENT:			
	DOCUMENTS VERIFIED WITH ORIGINALS	CLIENT INTERVIEWED BY	IN-PERSON VERIFICATION DONE BY
NAME OF THE EMPLOYEE			
EMPLOYEE CODE			
DESIGNATION OF THE EMPLOYEE			
DATE			
SIGNATURE			
<p>We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), Risk Disclosure Document (RDD) and Guidance Note. We have given/sent him/her a copy of all the KYC documents. We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. We also undertake that any change in the 'Rights and Obligations' and Risk Disclosure Document (RDD) would be made available on our website, if any, for the information of the clients.</p>			
Signature of the Authorized Signatory Date:		Seal/Stamp of the Stock Broker	





OPTION FOR ISSUANCE OF DELIVERY INSTRUCTION SLIP (DIS) BOOKLET

VOLUNTARY

		DATE:	
DPID:		CLIENT ID:	
NAME OF THE SOLE/FIRST HOLDER:			
NAME OF THE SECOND HOLDER:			
NAME OF THE THIRD HOLDER			
Option 1	<input type="checkbox"/> I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/ We have issued a Power of Attorney (POA) in favour of AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.		
Option 2	<input type="checkbox"/> 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 AIONION CAPITAL MARKET SERVICES PRIVATE LIMITEDfor 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.		
<b>BASIC SERVICES DEMAT ACCOUNT (BSDA) CONFIRMATION</b> (Note: If opted client should sign BSDA Tariff Sheet separately)		<input type="checkbox"/> I/We wish to opt for BSDA <input type="checkbox"/> I/We do not wish to opt for BSDA till my further instructions from my side	
	<b>SOLE/FIRST HOLDER</b>	<b>SECOND HOLDER</b>	<b>THIRD HOLDER</b>
 (10/35)			
EASI			
To register for Easi please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> EASI allows a BO to view his ISIN balances, transactions and value of the portfolio online.			
SMS ALERT FACILITY			
Refer to Terms & Conditions given as <b>Annexure - 2.4</b>  MOBILE NO.+91  [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option).			
BSE STAR MFSS /NSE MFSS			
<p>I/We am/are registered as your client with Unique Client Code No. _____ and have executed the "Trading Member and Client Agreement" for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (BSE)/National Stock Exchange Ltd. (NSE).</p> <p>I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF/NSE MFSS</p> <p>For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stockbroking may be considered for the purpose of BSE STAR MF/NSE MFSS, and I/we further confirm that the details contained in the same remain unchanged as on date.</p> <p>I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009, and as may be specified by the Exchange from time to time in this regard.</p> <p>I/We shall ensure also compliance with the requirements as may be specified from time to time by the Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).</p> <p>I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.</p> <p>I/we, therefore, request you to register me/us as your client for participating in BSE STAR MF/NSE MFSS.</p>			
	<b>SOLE/FIRST HOLDER</b>	<b>SECOND HOLDER</b>	<b>THIRD HOLDER</b>
 (11/35)			








Transactions using secured Texting Facility (TRUST) Refer to Terms And Conditions Annexure – 2.6			
I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.			
<input type="checkbox"/> Yes <input type="checkbox"/> No			
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)	
BSE: 6878 & NSE: 90405	Aionion Capital Market Services Pvt Ltd	6878	
AUTHORISATION TO DEBIT TRADING ACCOUNT FOR THE DEMAT ACCOUNT CHARGES			
I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purposes. It would be difficult or me/us to keep issuing separate cheques against your depository bills, Trading Account Opening Charges and other charges. I/We, therefore authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.			
 (12/35)			
FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL			
Please fill the information below as requested	FIRST ACCOUNT HOLDER	SECOND ACCOUNT HOLDER	THIRD ACCOUNT HOLDER
Name of the Account Holder			
Indicate ( ) your Tax Residency / Citizenship / Nationality	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others
If ticked on “Others” and/or “U.S.A”, please provide all details under point no. 2,3,4,5 below:			
Specify City and Country of Birth			
Specify Country(ies) of Tax Residency/ Citizenship / Nationality / Green card holder, other than India			
Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Others <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Others <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Others <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property
DECLARATION			
I / We hereby declare, agree and confirm the following: a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED within 30 days, in case of any change in the above given status on a future date; b) If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India.			
	SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
 (13/35)			



NOMINATION FORM						MANDATORY	
AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED				FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>			
DATE		UCC		DP ID		Client ID	
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]							
<b>NOMINATION DETAILS</b> 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 1 <sup>ST</sup> NOMINEE		DETAILS OF 2 <sup>ND</sup> NOMINEE		DETAILS OF 3 <sup>RD</sup> NOMINEE
NAME OF THE NOMINEE(S) MR./MS.)							
SHARE OF EACH NOMINEE	EQUALLY [IF NOT EQUALLY, PLEASE SPECIFY PERCENTAGE]						
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.					
RELATIONSHIP WITH THE APPLICANT (IF ANY)							
NOMINEE 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							
<input type="checkbox"/> Saving Bank account no..							
<input type="checkbox"/> Demat Account ID							
*Address							
*City							
*State							
*Pin							
Mobile no/Telephone No. [Optional Fields]							
Email ID: [Optional Fields]							
FAX No. [Optional Field]							
<b>To be filled only if nominee(s) is a minor:</b>							
Date of birth (mandatory if Nominee is a minor)							
Name of the Guardian of Nominee (if nominee is a minor) *First Name: Middle Name: *Last Name							
*Address of the guardian of nominee:							
*City							
*State							
*Pin							
*Country							
Age							
Mobile /Telephone no [Optional Fields]							
Email ID: [Optional Fields]							
Fax No. [Optional Fields]							
*Relationship of the Guardian with the Nominee							
Guardian Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Demat Account ID							



<input type="checkbox"/> PAN Aadhaar Saving Bank account no. Proof of Identity				
	SOLE/FIRST HOLDER	SECOND HOLDER		THIRD HOLDER
 (14/35)				
<p>I / We have received and read the Rights and Obligations document and terms &amp; 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.</p>				
DECLARATION FORM FOR OPTING OUT OF NOMINATION				MANDATORY
			Date	
AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED				
UCC/DP ID		/	12100800	
CLIENT ID (ONLY FOR DEMAT ACCOUNT)				
SOLE/FIRST HOLDER NAME				
SECOND HOLDER NAME				
THIRD HOLDER NAME				
<p>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 I/we am/are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our 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.</p>				
	SOLE/FIRST HOLDER	SECOND HOLDER		THIRD HOLDER
 (15/35)				
* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature				
MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)				
<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the Holder				
Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.				
<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder                      Email id			
	<input type="checkbox"/> Second Holder			
	<input type="checkbox"/> Third Holder			
FEMA DECLARATION				VOLUNTARY
<p>This has reference to my/our application for opening of a trading &amp; DEMAT account with you. In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.</p>				
	SOLE/FIRST HOLDER	SECOND HOLDER		THIRD HOLDER
 (16/33)				




Declaration for Fit and Proper Person

I hereby declare that I am a fit and proper person to trade in securities and to enter into a contract for trading in securities as per SEBI regulations and rules more defined by **SECURITIES AND EXCHANGE BOARD OF INDIA**

(CRITERIA FOR FIT AND PROPER PERSON) REGULATIONS, 2004

I hereby also declare the following:

- I have not been convicted by a Court for any offence involving moral turpitude, economic offence, securities laws or fraud;
- No order for winding up has been passed against me/us.
- I/We have not been declared insolvent and have not been discharged;
- No order of suspension of certificate of registration as an intermediary, client restraining, prohibiting or debarring me/us from dealing in securities in the capital market or from accessing the capital market has been passed by the Board or any other regulatory authority for a period ending last five years.
- No order cancelling the certificate of registration of the applicant has been passed by the Board of SEBI on the ground of its indulging in insider trading, fraudulent and unfair trade practices or market manipulation and a period of three years.
- No order withdrawing or refusing to grant any license/approval to the applicant, who has a bearing on the capital market, has been passed by the Board or any other regulatory authority for a period of three years before this date.


	SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
 17/35)			

DP TARIFF SHEET

MANDATORY

CHARGE HEAD	CHARGES (Individual)		
Account Opening	FREE	AMC	FREE
Documentation Charges	FREE	Custody	FREE
Margin Pledge and Unpledge	Rs. 30.00 per ISIN	Failed instruction charges	Rs. 30.00 per ISIN
KYC Modification charges	Rs. 25.00 per instruction	KRA Process charges	Rs. 35.00 for New KRA & Rs. 35.00 for Modification KRA
DDPI (Optional)	Rs. 150		
Transaction Charges (On Market / Off Market / Inter DP)	Buy: NIL, Sell: Rs. 30.00 per ISIN or 0.04% (whichever is higher) *		
Transaction Charges (Debt Segment on Market)	Buy: Rs. 100.00 per ISIN, Sell: Rs. 100.00 per ISIN		
Rematerialisation	Rs. 20.00 for every 100 Securities + courier charges at actual		
Pledge and Unpledge	Rs. 50.00 per ISIN or 0.04% (whichever is higher) * to Pledger		
DIS Booklet charges	Rs. 100.00 per Booklet + courier charges at actual		
Dematerialisation	Rs. 150.00 per certificate + (Rs. 50.00 per request) + courier charges at actual		
Pledge Invocation (Pledgee)	Rs. 50.00 per ISIN or 0.04% (whichever is higher) * to Pledgee		

- The above schedule of charges is exclusive of GST and other levies by Government bodies/statutory authority from time to time.
- The above schedule of charges is based on CDSL charges and fixed by the DP and is subject to revision at the discretion of the DP..
- For - BSDA Scheme Accounts - No AMC and other Charges as per depositories at actual.

	SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
 (18/35)			



Trading Account Tariff					MANDATORY
CHARGE HEAD		CHARGES (Individual)			
Account Opening		Rs.2499 + GST			
For Physical Contract Notes / Statements		Rs. 200 + GST (per Instance)			
For Cheque Bounce/Cheque Cancellation		Rs.1,000 + GST			
Interest on Delayed Payment		24% Per Annum			
Profile Modifications		Rs. 25.00 + GST			
KRA Process charges		Rs. 35.00 for New KRA & Rs. 35.00 for Modification KRA			
Account Maintenance Charges		Rs. 100.00 per month with holding/*inactive accounts			
Payment Gateway Charges		NIL			
Statutory Charges: GST, STT, Transaction Charges, SEBI, Stamp Duty, Penalty Charges, etc		Applicable as per Statutory Bodies			
GST 18%		Brokerage, SEBI Charges & TOC, etc., (if any)			
	CASH SEGMENT Intraday		CASH SEGMENT Delivery		DEBT Segment
	Min (Paise)	Max (%)	Min (Paise)	Max (%)	Max (%)
One Side					0.75
Both Side	0.01	0.075	0.01	0.75	
Note: 1. The above charges will not be refunded. The company in its sole discretion may waive charges either in part or in full. 2. The Company reserves the right to revise brokerage structure & other statutory charges as applicable under respective laws by display of the same on website/direct communication. The schedule of charges is also available on: <a href="http://www.aionioncapital.com">www.aionioncapital.com</a> .					
	SOLE/FIRST HOLDER		SECOND HOLDER		THIRD HOLDER
 (19/35)					
Proprietary Trading Disclosure					
DISCLOSURE INTERMS OF SEBI CIRCULAR NO. SEBI/MRD/SE/CIR-42/2003DATEDNOVEMBER19, 2003 AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED caters to Institutional, Corporate, High net worth and other retail clients through membership of various exchanges.  AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED besides doing client-based business also does its own investment and/or trading.					
	SOLE/FIRST HOLDER		SECOND HOLDER		THIRD HOLDER
 (20/35)					
"Proprietary Trading Disclosure noted"					
CKYC / KRA Consent					
"I/ We, hereby authorize AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED to access, fetch, and download my KYC data from the Central KYC Registry (CKYC) and KYC Registration Agency (KRA) for the purpose of verification and opening my Demat and trading account. I understand that this consent is being provided voluntarily and that my personal information will be used in accordance with applicable laws and regulations."					





SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES

MANDATORY

To,  
**AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED**

CLIENT NAME UCC

MOBILE NO

EMAIL ID

CLIENT CODE

I hereby declare that the aforesaid mobile number belongs to : \_\_\_\_\_

I hereby declare that the aforesaid E-mail ID belongs to : \_\_\_\_\_

I request you to update the same in my trading and DEMAT account and send all the Confirmations and other communication through SMS and E- mail ID.

Further, I hereby agree and undertake to indemnify and keep indemnified and save you against all claims/demands/penalties/suits/action or any loss or damages suffered or incurred as a consequence of such instruction.

Further, I authorize AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED that the same may be used for giving me any information/alert/SMS. I further declare the above-mentioned statement is true and correct.

 (21/35)

CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS

I/We hereby acknowledge receipt of the following documents:

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology-based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
5. ACMSPL Tariff sheet.
6. General Terms and Conditions governing securities trading and broking services of AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED
7. All other mandatory and voluntary client registration documents. 8. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I state that I have read and understood all above documents and these documents are binding upon me.

 (22/35)

MOST IMPORTANT TERMS AND CONDITIONS (MITC)(For non-custodial settled trading accounts)

MANDATORY

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.

 (23/35)

**RUNNING ACCOUNT AUTHORISATION**

**VOLUNTARY**

To,  
**AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED**

**Re: Running Account Authorisation**

In order to facilitate operations of my/our trading account opened, I/We would like to authorise AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)  
☐ **Monthly**    ☐ **Quarterly**
3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/ we and I have traded within 30 calendar days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a ACMSPL may retain funds in the manner specified below:
  - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
  - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
  - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

 (24/35)



**AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE**


I/We hereby consent to receive from AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

I/We hereby consent to receive from AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED the digital contract notes, bills, ledgers, transaction statements, DEMAT statement of accounts/DEMAT transaction statement/holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the rules made thereunder to my/our below mentioned E-mail Id (said E-mail Id).

E-mail Id: \_\_\_\_\_

I/We further hereby agree that ACMSPL shall fulfil the legal obligation, if the above documents are sent electronically to the said E-mail Id and I/we am/are aware that I/we will not receive the statements/documents in paper form. In this regard, I/we further confirm and agree that: -

1. The above is my/our personal E-mail Id. The same has been created by me/us and not by someone else. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above-mentioned E-mail account. ACMSPL shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/our aforesaid E-mail Id
2. E-mails sent to any of the above-mentioned E-mail accounts, which have not bounced back, shall be deemed to be duly delivered to me/us. I/We am/are aware that non-receipt of bounced email notification by the member shall amount to delivery of the Contract Note and other documents to the above-mentioned E-mail Id(s)
3. ACMSPL shall not take cognizance of out-of-office/out of station auto replies and I/we shall be deemed to have received such electronic mails. Such Statements shall be deemed to have been delivered on the day when the E-mail is sent by ACMSPL
4. ACMSPL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof
5. ACMSPL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from ACMSPL
6. I/We shall inform ACMSPL by way of a letter in writing duly signed by me/us or informed through an internet platform if there is any change in the E-mail given above
7. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with ACMSPL . My/Our non-verification or not accessing the Statement on a regular basis shall not be a reason for disputing the same at any time
8. Further I/we agree and undertake to indemnify ACMSPL and its group companies, that they will not be held liable/responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc. that may arise in future on account of my/our above authorization request
9. In case of bounced E-mail, ACMSPL shall send physical copy of contract note to me/us within the stipulated time under the extant regulations of SEBI/stock exchanges

NAME:	PLACE:
 (25/35)	DATE:



DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) IN FAVOUR OF AIONION CAPITAL MARKET SERVICES PVT LTD  
VOLUNTARY

I/We, the client(s) mentioned herein below, holding BO ID 12100800\_\_\_\_\_

authorize the Stock Broker and Depository Participant M/s. Aionion Capital Market Services Private Limited to access our BO account for the limited purpose of meeting pay-in obligations for settlement of trades executed by me/us.


I/We, the client(s) mentioned herein below, authorize the Stock Broker and Depository Participant M/s. Aionion Capital Market Services Private Limited to pledge securities held in my/our BO account to the Stock Broker for limited purpose of meeting my/our margin obligations in connection with my/our trades executed on recognized Stock Exchange(s) through Aionion Capital Market Services Private Limited and to further repledge the same by Aionion Capital Market Services Private Limited in favour of Clearing Corporation/ Clearing Member as may be required for the purpose of meeting my/our margin obligation(s). These instructions shall continue to be valid and operative until it is revoked by me/us in writing by sending such revocation letter in hard copy to the registered office of Aionion Capital Market Services Private Limited duly signed by me/us. The revocation instruction shall be operative from the next working day after the same is received by Aionion Capital Market Services Private Limited at its registered office in hard copy.

I/We understand that providing this DDPI is voluntary on my/our part and there is no compulsion for me/us to sign the same. I/We declare that, I/we have signed the same voluntarily on our own volition.


The details of the settlement accounts of Aionion Capital Market Services Private Limited to which securities towards settlement obligation may be Transferred

PURPOSE OF DDPI


1. Transfer of securities held in my / our beneficial owner accounts towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us on the Stock Exchange through AIONION CAPITAL MARKET SERVICES PVT LTD

	First/Sole Holder	Second Holder	Third Holder
 (26/35)			


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. Any other transactions that may be allowed by SEBI/CDSL from time to time.

	First/Sole Holder	Second Holder	Third Holder
 (27/35)			

3. Mutual Fund transactions being executed on Stock Exchange order entry platforms such as BSE Star MF, BSE ICDM & NSE CBRICS

	First/Sole Holder	Second Holder	Third Holder
 (28/35)			

4. Tendering shares in open offers through Stock Exchange platforms.

	First/Sole Holder	Second Holder	Third Holder
 (29/35)			

I/We hereby covenant, ratify and confirm that all acts done and documents executed or signed by the stock broker / stock broker and depository participant pursuant to this DDPI has been made done and executed in good faith and shall for all-purpose be valid and binding on me/us and I/ we undertake to indemnify the stock broker / stock broker and depository participant against all actions proceedings claims, costs, expenses and liabilities of every description arising from the exercise or the purported exercise in good faith, of authorities conferred by this DDPI.

The stock broker / stock broker and depository participant may appoint and remove at its discretion any authorized signatories for or under this DDPI in respect of all or any of the matters contained herein upon such terms and conditions as the stock broker / depository participant may think fit.

I/ We further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its Corporate Office Situated at 3rd Floor, Meerlan Towers, No.33, Hanumantha Road, Royapettah, Chennai - 600014.

However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

List of the Stock Broker Designated Demat Account:

Sr No.	Account Number	Particulars
1	1210080000011119	CDSL BSE/NSE Pool A/C
2	1210080000000035	CDSL Margin Pledge A/C
3	1100001000025056	CDSL Early Pay-in A/C
4	IN304772-10000029	NSDL BSE/NSE Pool A/C



POLICIES AND PROCEDURES FOR CLIENT DEALINGS		MANDATORY
<p><b>A. REFUSAL OF ORDERS FOR PENNY STOCKS:</b> The broker reserves its right to accept orders for buy or sell of stocks that quote at a relatively low price or have low floating stock. They will not be held responsible for any loss of opportunity by the client</p>		
<p><b>B. SETTING UP CLIENT'S EXPOSURE LIMIT:</b> The Client is aware and agrees that the trading exposure limit provided to each client may not be of the same multiple, and it is the discretionary prerogative of the broker to allow distinct permissible exposure to each client. The broker may seek up to 100% margin before accepting any order</p>		
<p><b>C. BROKERAGE RATE:</b> Brokerage will be charged to the clients at rates not exceeding the limit prescribed by the Exchange and at the value which is mutually agreed between the Client and the broker</p>		
<p><b>D. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES, SPECIFYING THE RATE AND THE PERIOD NOT RESULTING IN FUNDING BY THE BROKER IN CONTRAVENTION OF THE APPLICABLE LAWS:</b> The Client has executed a 'Running account authorization' in favor of the broker with the intent to have a ready margin to meet his or her/their trading needs. No interest is payable by the broker on credit balances if any. The broker is not into the business of funding client positions, delayed payment will be charged of 1½% per month</p>		
<p><b>E. THE RIGHT TO SELL CLIENT'S SECURITIES OR CLIENT'S POSITIONS, ON ACCOUNT OF NON-PAYMENT OF CLIENT'S DUES (THIS SHALL BE LIMITED TO THE EXTENT OF SETTLEMENT/MARGIN OBLIGATION) :</b> In the event of non-payment of settlement obligations, the broker reserves the right to liquidate securities or open positions of the client to the extent of clearing the debit balance standing in a financial ledger or margin obligation</p>		
<p><b>F. CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT:</b> Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further / fresh position.</p>		
<p><b>G. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements, etc. from the client-side, the broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Such Circumstances may include (but not limited to) :</b> (i) Failure to meet pay-in obligation on T+1 day, (ii) Delay in meeting the pay-in or margin requirement, (iii) Delay or failure in the clearance of outstanding or dues to the broker, (iv) Returning or frequent returning of cheque of the client, (v) Unnecessary / Unwarranted dispute from the client without any substantial cause/reason, (vi) Client's attitude of not coming to the amicable settlement for any dispute that can be settled without the involvement of Exchange and/or SEBI. (vii) As per the prevalent RMS policy of the Broker, (viii) Any direction from SEBI/Exchange or such other authorities, (ix) Under such other circumstances as the Broker might think just and proper on case-to-case basis</p>		
<p><b>H. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT BASED AT THE CLIENT'S REQUEST:</b> The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in the following circumstances: a) As per Client's prior written request of at least 3 days submitted to broker at its Pune H.O. duly acknowledged by broker (Subject to clearance of entire outstanding/obligations), b) Dormant or in-active status of the client beyond specified time limit as may be prescribed by broker, c) Under any circumstances mentioned in (i) to (ix) above</p>		
<p><b>I. DEREGISTERING A CLIENT:</b> Notwithstanding anything to the contrary stated in the mandatory and voluntary client registration documents, the stockbroker shall be entitled to terminate the mandatory and voluntary client registration document's, with immediate effect in any of : (i) Regulatory actions of the SEBI or any of its arms; (ii) Commencement of a legal process against the client under prevailing laws of the land; (iii) Death or lunacy or disability resulting in the inaction of the client. (iv) Breach of any term, condition or covenant of this mandatory &amp; voluntary client registration document's (v) Detection of misrepresentation of facts by the client; (vi) The client having voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a received 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; (vii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;</p>		
<p><b>J. TAPE RECORDING OF THE CONVERSATION</b> The client is aware that the member may record the conversation between the client and the member</p>		





**K. DISPLAY OF POLICY AND OTHER INFORMATION ON THE WEBSITE OF MEMBER/ EXCHANGE/SEBI**

The client is aware that the policies/ procedures of the member and other information are regularly hosted on the website of the member and he shall ensure to keep himself updated with the same. The client also agrees to keep himself updated with the circulars hosted on the SEBI/ exchange website

The client is also aware that Investor grievance email ID, Policy & Procedures, Copy of Standard KYC, Risk Management Policy, Literature of AML requirement, Links to the website of SEBI and Stock Exchanges of which Stock Broker is a member, other Information that a trading member is required to furnish to his clients is hosted on member's website as well as available on-demand from member's office

**L. NO MARKET MANIPULATION**

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing, or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED (hereinafter referred as 'ACMSPL ') has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

**M. NO MARKET MANIPULATION**

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing, or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, AIONION CAPITAL MARKET SERVICES PRIVATE LIMITED (hereinafter referred as 'ACMSPL ') has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

**N. PMLA DECLARATION**

I/We declare that I/we have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by ACMSPL officials. I/We further declare that I/we shall adhere to all the provisions of the PMLA Act, 2002

I/We further undertake and confirm that;

- a) I/We do not have any links with any known unlawful persons/institutions
- b) I/We am/are a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I/we am/are a party to it. The investment money is derived from proper means and does not connect with the proceeds of crime nor am/are I/we a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

**O. THIRD-PARTY PAYMENTS**

ACMSPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by ACMSPL . ACMSPL shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above

However, due to oversight, if any such third-party payment has been accepted by ACMSPL and the credit for the same has been given in the client's ledger, ACMSPL shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, ACMSPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. ACMSPL, its Directors and employees shall not be responsible for any consequential damages or losses

**P. DELIVERIES**

The client shall ensure that the shares are properly transferred to the designated DEMAT account of ACMSPL, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/ACMSPL. In case the client fails to transfer the shares on time to ACMSPL, ACMSPL shall not be responsible for any loss/damages arising out of such delayed transfers

**Q. INDEMNIFICATION**

I/We hereby indemnify and hold ACMSPL , its Directors, and employees harmless from and against all trade-related claims, demands, actions, proceedings, losses, damages, liabilities, charges, and/or expenses that are occasioned or may be occasioned to ACMSPL directly or indirectly, relating to bad delivery of shares/securities and/or third-party delivery, whether authorized or unauthorized and fake/forged/stolen shares/securities/transfer documents introduced or that may be introduced by or through me/us during the course of my/our dealings/operations on the Exchange(s) and/ or proof of address, identity and other supporting documents provided by me/us at the time of registration and/or subsequently.

**R. NO DEALINGS IN CAS**

ACMSPL as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub Broker/Remisier/Employee/Authorized Person of ACMSPL

**S. LOSS DUE TO TECHINCAL GLITCH/ANY ISSUE**

I/We agree that I/we will not be compensated by the broker for any loss opportunity viz. notional profits on buy/sell orders which could not be executed due to any reason whatsoever, including but not limited due to time lag in the execution of the order or the speed at which the system of the broker/ the Exchanges is operating, any shutting down by the broker of my/our system for any reason or the broker disabling me/us from trading on its system for any reason whatsoever.





## INTERNET & WIRELESS TECHNOLOGY BASED TRADING

MANDATORY

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (ALL THE CLAUSES MENTIONED IN THE RIGHTS AND OBLIGATIONS' DOCUMENT(S) SHALL BE APPLICABLE. ADDITIONALLY, THE CLAUSES MENTIONED HEREIN SHALL ALSO BE APPLICABLE) CLIENT'S

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



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## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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



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

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

**1. BASIC RISKS:**

**1.1 Risk of Higher Volatility:**

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

**1.2 Risk of Lower Liquidity:**

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

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

**1.3 Risk of Wider Spreads:**

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

**1.4 Risk-reducing orders:**

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

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

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

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

**1.5 Risk of News Announcements:**

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

**1.6 Risk of Rumors:**

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

**1.7 System Risk:**

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

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

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

**1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or



system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

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

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

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

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

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

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

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

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

### **2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

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

### **2.3 Risk of Option holders:**

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

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

### **2.4 Risks of Option Writers:**

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

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

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





options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

**4. GENERAL**

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

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



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**RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS**

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

**CLIENT INFORMATION**

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

**MARGINS**

10. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
11. 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**

12. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
13. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
14. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other





than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

15. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

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

**BROKERAGE**

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

**LIQUIDATION AND CLOSE OUT OF POSITION**

18. 1Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non- payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

19. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate Entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

**DISPUTE RESOLUTION**

20. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

21. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

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

23. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

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

**TERMINATION OF RELATIONSHIP**

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

26. The stock broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

**ADDITIONAL RIGHTS AND OBLIGATIONS**

27. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

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

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



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

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

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

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

34. 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.

### **ELECTRONIC CONTRACT NOTES (ECN)**

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

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

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

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

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

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

### **LAW AND JURISDICTION**

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

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

6. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

7. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

8. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

38. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



## Rights and Obligations of Beneficial Owner and Depository Participant

### 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, 2018, 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, 2018 and Bye- Laws/Operating Instructions/Business Rules of the Depositories.

### Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

### Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.



**Default in payment of charges**

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

**Liability of the Depository**

22. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

**Freezing/ Defreezing of accounts**

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

**Redressal of Investor grievance**


25. 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**

26. 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**

27. 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.
28. 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 Byelaws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
29. 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.
30. 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
31. 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.
32. 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.

	SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
 (33/35)			

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

**BEFORE YOU BEGIN TO TRADE**

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

**TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.





11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub- broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
- a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in cash market.
  - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.
- IN CASE OF TERMINATION OF TRADING MEMBERSHIP**
16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.
- DISPUTES/ COMPLAINTS**
18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.





## Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL (ANNEXURE 2.4) [SMS Alerts will be sent by CDSL to BOs for all debits]

### Definitions:

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

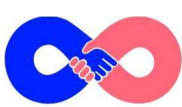
1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means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

### Availability:

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

### Receiving Alerts:

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



**Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

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

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

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

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

BO ID																
-------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

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

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


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

Mobile Number on which messages are to be sent	+91											
--	-----	--	--	--	--	--	--	--	--	--	--	--

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)

	SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
 (35/35)			



DETAILS OF TRADING AND CLEARING MEMBER	
Name Of Stock Broker	: Aionion Capital Market Services Private Limited
Registered Office	: 3rd Floor,Meerlan Towers, No.33, Hanumantha Road, Royapettah, Chennai - 600014
Corporate Office	: 3rd Floor,Meerlan Towers, No.33, Hanumantha Road, Royapettah, Chennai - 600014
Telephone Numbers	: 044-46895225
Email	: clientcare@aionioncapital.com
Cin	: U66120TN2024PTC167864
AMFI Registration No	: ARN-296313
SEBI Registration No	: INZ000318532
SEBI Registration No. Of CDSL	: IN-DP-790-2024
CDSL DP ID	: 12100800
NSDL DP ID	: IN304772
Membership No	: NSE Membership Code : 90405 BSE Membership Code : 6878
Clearing Member Name	: Aionion Capital Market Services Private Limited
Compliance Officer Name	: Gnanasundaram Vinodhkumar
Phone No.	: 044-46895225
Email Id	: compliance@aionioncapital.com
Director Name	: Mr. Anish Gupta
Phone No.	: 044-46895225
Email Id	: anish@aionioncapital.com
You can also lodge your grievances with SEBI at <a href="http://scores.gov.in">http://scores.gov.in</a> . For any queries, feedback or assistance, please contact SEBI office or toll-free Helpline at 1800-22-7575 / 1800-266-7575	
For any grievance/dispute please contact Aionion Capital Market Services Private Limited at the above address or email id: <a href="mailto:grievance@aionioncapital.com">grievance@aionioncapital.com</a> and Phone no. 044-46895225. In case not satisfied with the response, please contact the concerned exchange(s) at their Contact details given below:	
<b>BSE Limited (BSE)</b> Tel. No.: +91 22 2272 1233/35 Investor Services email ID.: <a href="mailto:is@bseindia.com">is@bseindia.com</a> Investor Services Tel. No.: +91 22 2272 8097	<b>NSE Limited (NSE)</b> Tel. No.: +91 22 2659 8190 / 1800 2200 58 Investor Services email ID.: <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>
<b>NSDL</b> Tel.: 022 48867000 E-mail ID: <a href="mailto:complaints@nsdl.com">complaints@nsdl.com</a>	<b>CDSL</b> Tel.: 1800 2005 533 E-mail ID: <a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>