

ACCOUNT OPENING KIT (For NON-INDIVIDUALS)

NEO APEX SHARE BROKING SERVICES LLP			
Exchange/Segment	Membership No.	SEBI Regn No.	Date
NSE-Capital Market	90346	INZ000313854	14 th July 2023
NSE-Future & Options Market			
BSE-Capital Market	6819		
BSE-Future & Options Market	6819		
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For any grievance/dispute please contact Neo Apex Share Broking Services LLP at the above mentioned address or E-Mail Id:ig@neoapex.in and Phone No.022-48257880.

CLIENT NAME										
CLIENT CODE	Date of Registration									
SEGMENT SELECTION	BSE	<input type="checkbox"/>	CM	<input type="checkbox"/>	F&O	<input type="checkbox"/>	CURRENCY	<input type="checkbox"/>	SLB	<input type="checkbox"/>
	NSE	<input type="checkbox"/>	CM	<input type="checkbox"/>	F&O	<input type="checkbox"/>	CURRENCY	<input type="checkbox"/>	SLB	<input type="checkbox"/>

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

Sr.No	Exchange	Email ID	Phone No.
1.	Securities & Exchange Board of India(SEBI)	sebi@sebi.gov.in	022-264499500/40459950
2.	National Stock Exchange of India Limited(NSE)	ignse@nse.co.in	022-26598190
3.	Bombay Stock Exchange of india Limited (BSE)	Mahesh.ghadi@bseindia.com	022-22728517

Annexure -1

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INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary

public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.

6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.

7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.

8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.

2. Investors residing in the state of Sikkim.

3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

4. SIP of Mutual Funds upto Rs 50, 000/- p.a.

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only).

	<ul style="list-style-type: none"> • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Annexure-2

KNOW YOUR CLIENT(KYC) APPLICATION FORM(For Non-Individuals)

Please fill this form in ENGLISH and in BLOCK LETTER

A. IDENTITY DETAILS:			
1.Name of the Applicant:			
2.Date of Incorporation	DD/MM/YYYY	Place of Incorporation	
3.Date of commencement of Business:			
4.a.PAN		b.Registration No.(Eg:CIN)	
5.Status(please tick any one)	Private Ltd Co/Public Ltd Co./ BodyCorporate/Partnership/Trust/Charities/NGO's/FI/FII/HUF/A OP/Bank/Govt Body/Non-Govt Organization/Defense Establishment/BOI/Society/LLP/Others(pls specify).....		

B.ADDRESS DETAILS:			
1.Address for correspondence:			
	City/Town/Village		PIN Code
	State		Country
2.Contact Details:	Tel.(Off.)		Tel.(Res.)
	Mobile No.		Fax
	E-Mail Id:		
3.Specify the proof of address submitted for correspondence address:			
4.Registered Address(if different from above)			
	City/Town/Village		PIN Code
	State		Country
5.Specify the proof of address submitted for Permanent Address:			

X_____

C. OTHER DETAILS		
1.Gross Annual Income details(Please Specify):Income Range per Annum		
<input type="checkbox"/> Below Rs.1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 crore <input type="checkbox"/> >1crore		
2.Net-worth(should not be older than 1 year):	Amount	Rs.
	As on	DD/MM/YYYY
3.Name, PAN,residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: (As per Annexure A provided)		
4.DIN/UID of Promoters/Partners/Karta and whole time directors: (As per Annexure A provided)		
5.Please tick,if applicable,for any of your authorized signatories/Promoters/Partners/Karta/Trustees/ whole time directors:	<input type="checkbox"/> Politically Exposed Person(PEP)	
	<input type="checkbox"/> Related to a Politically Exposed Person(PEP)	
6.Any other information:		

DECLARATION:		
I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I /we undertake to inform you of any change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.		
x _____ the Authorised Signatory Name:	Date: DD/MM/YYYY	Signature of

FOR OFFICE USE ONLY	
<input type="checkbox"/> (Originals Verified) True Copies of documents received <input type="checkbox"/> (Self-Attested) Self Certified Document copies received	
_____ Signature of the Authorised Signatory (alongwith Company Stamp)	
Date: DD/MM/YYYY	

Annexure - 3
TRADING ACCOUNT RELATED DETAILS
(For Individuals & Non-individuals)

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type:	MICR Number	A/c Statement Requirements
			<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
				IFSC Code	

B. DEPOSITORY ACCOUNT(S) DETAILS

C. TRADING PREFERENCES:* Please sign in the relevant boxes where you wish to trade. Please

Depository participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID(BO ID)
	NSDL CDSL			

struck off the Segment not chosen by the you.

EXCHANGE	NSE & BSE				MCX NSE
ALL SEGMENTS	CASH	F&O	CURRENCY	SLB	Commodity Derivatives
IF You do not wish to trade in any of segments please mention here					

Note: If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter is required from the client.

D.PAST ACTIONS:Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

.....

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-Broker's Name		SEBI Regn No.	
Regd Office Address:			
	City:	PIN Code:	State: Country:
Contact Details	Phone No:		Fax:
	Web-site:		

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

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

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): YES NO

Specify your Email id, if applicable:

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): YES NO
- Number of years of Investment/Trading Experience:_____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:

Sr.No	Name/Residential Address	Designation,Contact No.,PAN & UID	Photograph
1.	Name:	Designation	
	Address:	PAN	
		UID	
		Contact No.	
		Mob No.	
	Signature	X	
2.	Name:	Designation	
	Address:	PAN	
		UID	
		Contact No.	
		Mob No.	
	Signature	X	
3.	Name:	Designation	
	Address:	PAN	
		UID	
		Contact No.	
		Mob No.	
	Signature	X	
For More Person, please use additional sheet as per this format.			

- Any other information: _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer:	SURNAME	NAME	MIDDLE NAME
Status of the Introducer:	<input type="checkbox"/> Sub-Broker	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorised Person
	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Others(pls Specify).....	
Address:			
Contact No.		Signature:	X

DECLARATION :

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

Signature of Client/(all)Authorized Signatory(ies)	X
Place:	Date:

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

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	Documents Verified with Original	Client Interviewed by	In-Person verification done by
Name of the Employee			
Employee Code			
Employee Designation			
Date			
Signature			

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

.....
Signature of the Authorised Signatory
(Seal/Stamp of the stock broker)

Date

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.

b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals:

a. Form need to be initialized by all the authorized signatories.

b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

Statement of account

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

Manner of Closure of Demat account

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

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

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

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 Bye-laws 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.

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.

2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.

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

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Annexure – 5

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. 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.

2.2 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.

2.3 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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Annexure-6

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain

funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give 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.

POLICIES & PROCEDURES –Client Registration

In order to ensure proper compliance with various Notices/Circulars /Guidelines issued by SEBI/Exchanges and uniformity the Company has prescribed the **Policies & Procedure** as under for guidance of all employees in HO/all Branches which is to be strictly followed by all.

[1] Refusal of orders for penny stocks

There is no formal list of the “Penny Stocks” issued by the Exchanges/SEBI. However there are shares of certain companies which are called/known as “Penny Stocks” in the Market. These shares may be part of the list of “Illiquid Stocks” issued by the Exchanges from time to time but not necessarily so in all cases. As dealing in these stocks (in physical form or demat form) is risky the Company (as a stock broker) may decline to carry out Buy/Sale Order/s of any client for so called “Penny Stock”

[2] Setting up of Client’s Exposure limits

The Company will fix the limit in value for each and every Client for which Buy/Sell Order/s of any particular Client will be executed in normal course based on “Income level” for the year confirmed by the Client and other considerations. The Company will not disclose the rational / logic of their decision (about fixation of the monetary limit). However if requested by the Client for any specific transaction/s to be carried out as a special case then it may be considered on merit.

[3] Applicable Brokerage Rate

At present SEBI permits maximum brokerage @ 2.5%.The Company charge brokerage to their Clients at the rate/s below this maximum limit. Each client will be intimated the rate at which brokerage will be charged to him / her / it. This rate will be revised by the Company based on volume of the Client’s business / market conditions / other relevant factors. Any change in the rate of brokerage will be intimated to the Client in writing in advance. Any change in brokerage will be done only after consented by the client.

[4] Imposition of penalty /delayed payment charges by either party –Rate/Period

All Clients who have agreed to have a “Running Account” with the Company will have to make payments due to the Company on due date/s. In all cases if payment is not made to the Company on due date penalty / delayed payment charges for delay in payment of amount relating to settlement, margin or any other dues relating to securities transactions @ 18% per annum. These charges shall be levied from the date of debit balance till the credit of payment in our bank account.

[5] The right to sell client’s securities or close client’s position, without giving notice to the client, on account of non-payment of client’s dues.

In case any particular Client has failed to make payment on due date then the Company will sell that particular client’s securities or close that particular client’s position, without giving notice to the client on account of non-payment of dues.

[6]Shortages in obligations arising out of internal netting of trades

In case of NSE, shortages arising out of Internal Netting of trades, client shortages are closed out by company at 10% above the closing rate of that particular scrip of auction date.

In case of shortages due to Internal Netting of trades if the Company is required to pay any penalty to the Exchange/s it will be charged to the Client concerned.

[7]Conditions under which a client may not be allowed to take further position or broker may close the existing position of a client.

It is to be noted that under following circumstances any Client will not be allowed to take further position or the Company may close that particular Client’s position (i) If the particular Client is a Defaulter of amount due to the Company (ii) Value of the Collateral is not sufficient to meet the Losses incurred by the Client (iii) If according to the Company Market Conditions has turned or likely to turn

unfavorable based on the information available or it is the view of the matter taken by the Company.
(iv) That particular Client is barred from Trading on the Exchange/s by SEBI/Exchange/s.

[8] Temporarily suspending or closing a client's account at the client's request

It is to be noted that under following circumstances any particular Client's Account may be Suspended / Closed (i) On receipt of Written Instruction from that particular Client (ii) that particular Client is barred from Trading on the Exchange/s by SEBI/Exchange/s (iii) The particular Client who has defaulted in making payment on due date to the Company (iv) on receipt of any adverse information by the Company about the particular Client.

[9] Deregistering a client.

It is to be noted that any particular Client/s who is/are covered under any of the following category will be deregistered.

(i) that particular Client/s is/are barred from Trading on the Exchange/s by SEBI/Exchange/s (ii) The particular Client who has defaulted in making payment on due date to the Company (iii) on receipt of any adverse information by the Company about the particular Client (iv) The Client NOT trading through the Company continuously for more than 12 months.

10. Treatment of Inactive Accounts

The Clients who are inactive for the period of six months will be locked for further trading in order to avoid erroneous punching of order. Such customers can get their accounts activated by requesting in writing only to their relationship manager or sub-broker.

As required under circular No. SEBI/MRD/SE/Cir-42/2003 dated 19.11.2003 issued by the Securities and Exchange Board of India, we hereby disclose that in addition to client-based business, we are doing proprietary trading since 01.07.2024

For Neo Apex Share Broking Services LLP

Partner

I/we have read the above disclosure & give my / our acceptance for the same

Name of client _____

Date _____

Place _____

Annexure-7

BROKERAGE AND STATUTORY CHARGES FOR TRADING ACCOUNT(Tariff Sheet)

Further, I agree to the following terms of doing business: NSE BSE MSEI (CD) SLB

Segment	Sq.off %		Sq. off Min(ps)		Settlement %		Settlement	Delivery %	Delivery
	Buy	Sell	Buy	Sell	Buy	Sell	Min(ps)		Min(ps)
Cash									
Futures									
Options									
Currency Future									
Currency Option									

The above brokerage rates are subject to the minimum brokerage as applicable/intimated to the client from time to time.

Note:

1. In addition to above, Securities Transaction Tax, GST , SEBI Fee, Clearing charge & any other charges as levied by the Exchanges, Clearing Corporation , Clearing Member , SEBI, Central Govt., and local authorities etc will be payable by the client.

Client's Signature:

Date:

Name of the Client:

NEO APEX SHARE BROKING SERVICES LLP
C 1901 Bldg 1, Anise Grove Gorai Shimpoli Road,
Kanti Park, Chikuwadi, Borivali West,
Mumbai Maharashtra 400092

Date:

Dear Sirs,

Sub: Information through E Mail

This is to inform you that I/We am/are also desirous of receiving the information as below on my/our registered email id as provided in the KYC Form, for the purpose of receiving Electronic Contract Notes(ECN).

- Copy of my KYC Application Form duly filled in & Signed
- Digitally Signed Contract Notes/Bills
- Statement of Accounts/Ledgers
- Statement of Funds & Securities
- Margin Statement relating to my/our account
- Any other important notice, Circular or Communications including changes in the terms and conditions of service.

I/We understand that any change in my/our email ID can be made by you only against a physical letter personally signed by me/us.

I/We also understand that Non-Bouncing of the said information shall be construed as a valid deemed delivery of the same.

Failure on my/our part to check/verify my/our E-Mail account on regular basis shall not be a reason for disputing the receipt of the same, at any time and the payment obligations and transactions and trades shall be adhered to and cleared by me/us.

Thanking You,

Yours faithfully,

X

Client Name:

Client Code:

Running Account Authorization

NEO APEX SHARE BROKING SERVICES LLP
C 1901 Bldg 1, Anise Grove Gorai Shimpoli Road,
Kanti Park, Chikuwadi, Borivali West,
Mumbai Maharashtra 400092

Date:

Dear Sirs,

I/We have been/shall be dealing through you as my/our broker on the capital market and/or Futures & options segments/Currency Derivatives segments etc. As my/our broker, I/We voluntarily authorize you to carry out instructions given below.

I am/We are aware that you have to deliver securities/make payments of funds to me/us for settlement of dealings as per the schedule in force at the relevant time pursuant to directives/regulations/circulars issued by exchanges/regulatory authorities. However, I /We find difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade. Therefore I/We hereby authorize you to maintain Running Account(s) for me/us without you.

I/We also understand that the above instruction will remain valid from the date of signing of this authorization until revocation by me I writing.

I/We also declare that I/ We have been duly informed, that I/We reserve the right to revoke this authorization at any time, and also understand that the revocation, if made by me, shall not be applicable against the outstanding obligations on the settlement date, and that you shall be entitled to retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges or make recovery of the outstanding dues payable by me to you.

I/We also understand that the actual settlement of funds and securities shall be done by you, as per my preference given below. While settling the Account, you shall send the 'statement of accounts' containing an extract from the ledger/statement of account for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities.

I/We also agree that I/We shall bring to your notice in writing any discrepancy or dispute arising from the statement of account within 7 working days from the date of receipt of funds/securities or statement, as the case may be.

I/We also agree that if the discrepancy or disputes, if any, in respect of the statement of account and/or statement of securities is not addressed to you in writing within 7 days by me/us then the statement of account and/or statement of securities sent by you to me/us by courier or by postal service or any other permissible mode of communication shall be deemed to be correct and stand deemed to be confirmed by me/us.

I/We further agree and confirm that such periodic settlement of running account may not be necessary, if I/We

- i. are availing margin trading facility as per SEBI circulars.
- ii. have provided funds received towards collaterals/margin in the form of bank guarantee(BG)/Fixed Deposit receipts(FDR).

Please note that I/We would like the mandatory settlement of funds and securities(if applicable), as below to be made to me/us on the basis indicated below.(tick against your preference)

Quaterly Basis Monthly Basis

Client Name:

Client Code:

Note: This authorization shall be valid only if signed by the client only and not by any authorized person on his behalf or any holder of the Power of Attorney.

Authority to debit the Demat Account Operating Charges

Date: _____

To,

NEO APEX SHARE BROKING SERVICES LLP
C 1901 Bldg 1, Anise Grove Gorai Shimpoli Road,
Kanti Park, Chikuwadi, Borivali West,
Mumbai Maharashtra 400092

Dear Sir,

This has reference to my Trading & Beneficiary accounts opened with Mansi Shares & Stock Advisors Private Limited, the particulars of which are as under.

Beneficiary Client Id	
Trading Account Code	

With regard to these accounts, and for the sake of my operating convenience, I request and authorize you to debit the bills raised by you, pertaining to the depository services, provided to me to my trading account only. Any such sum debited to my/our Trading account shall be binding on me/us, and shall not be objected to.

Kindly do the needful as requested.

Signature of the Client

Client Name:

=====

Authorization for Adjustment between Different Segments & Exchanges

To,

NEO APEX SHARE BROKING SERVICES LLP
C 1901 Bldg 1, Anise Grove Gorai Shimpoli Road,
Kanti Park, Chikuwadi, Borivali West,
Mumbai Maharashtra 400092

Dear Sir,

I understand that the regulations governing the Capital Market do not encourage adjustment of balances arising out of dealings of Clients in different segments or exchanges.

However while appreciating the above, I /We would like to avoid inconvenience of making and receiving multiple payments and also make potential use of my funds, in my opinion, this optimization is possible, if I /We can deal with my/our account with you on a consolidated basis.

I therefore request & voluntarily authorize you to consider my/our account on a consolidated basis, accordingly you may adjust Inter-Exchange or Inter-Segment, Debit & Credit balances with each other, without reference to me/us, the same shall not be objected to by me/us.

Thanking You

Yours faithfully

Client Name:

DATE:

NEO APEX SHARE BROKING SERVICES LLP
C 1901 Bldg 1, Anise Grove Gorai Shimpoli Road,
Kanti Park, Chikuwadi, Borivali West,
Mumbai Maharashtra 400092

Dear Sir,
Sub. : Mobile Phone Communication/SMS Alerts

This is to confirm that my /our registered mobile number, which is as under, is registered in my/our name/in the name of our organization_____ of who is related to me as my spouse/Dependent child/Dependent Parent/Supporting Parent*(Strike off the inapplicable) or our authorized person.

+	9	1												
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Further, I /We hereby request and authorize you to provide any information relating to my/our account (Bill Summary/Receipts & Payments/ Available margin for next trading day and Stock deliveries etc.) with you by way of telephonic calls or SMS alerts.

Sending of the above information to me in the manner as above shall not be construed as violation of any "Do Not Disturb Registry (DND)" made by me.

I understand that providing of the information in the above manner is an additional and voluntary service on your part, and therefore any failure on your part to provide any information in the above manner, for any reason what so ever, shall not give me a right to make a claim against you.

Delivery of any information made to me in the above manner shall be considered as valid delivery of the information so provided.

Thanking you

Yours faithfully,

Client Name:

Client's Signature

***Please note that mobile number of any person other than your relatives mentioned above is not permitted to be used by you.**

Date:

To,
NEO APEX SHARE BROKING SERVICES LLP
C 1901 Bldg 1, Anise Grove Gorai Shimpoli Road,
Kanti Park, Chikuwadi, Borivali West,
Mumbai Maharashtra 400092

Dear Sir/Madam,

Sub: Availing of SMS and E-Mail Alerts sent by stock exchanges directly to Investor

Ref: Trading & Unique Client Code _____

With reference to the above subject, I/We wish to avail,

SMS Alerts

Email Alerts

Both SMS and Email Alerts

provided by the Exchanges(NSE/BSE) through which I/We will get transaction details directly from the Exchanges.

In this regard, find below the necessary details:

Mobile Number for SMS Alert										
Email Id for Email Alerts										

I/We also request you to add the above given mobile number/Email Id in all your records for my trading account.

Thanking you

Yours truly,

Client Signature	
Client Name	

FORMATS

ON THE LETTER HEAD OF THE COMPANY

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF M/S _____ (Company Name) AT _____ (Address) HELD ON ___ DAY OF _____ 20__ AT ___ A.M/PM.

Resolved that the Company be registered as Client with M/s **NEO APEX SHARE BROKING SERVICES LLP.**, a Trading member of the National Stock Exchange of India Ltd (NSE), Bombay Stock Exchange (BSE) for the purpose of dealing in Cash Market, F&O Segment as the Said Member be and is hereby authorised to honour instructions oral or written, given on behalf of the Company by any of the under noted authorised signatories.

1. (Director Name) Authorised Signatory

2. (Director Name) Authorised Signatory

who are authorised to sell, purchase, transfer, endorse, negotiate and/ or otherwise deal through Mansi Share & Stock Advisors Pvt Ltd on behalf of the Company.

Resolved Further that Mr. _____ and Mr. _____ Directors of the Company be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give affect to their resolution.

And Resolved Further that, the Common seal of the Company be affixed, wherever necessary, in the presence of any Directors or any one director, who shall sign the same in token of their presence.

For (Name of the Company)

Director Name
(Director)

Director Name
(Director)

Specimen Signature of the Authorised Persons:

Sr. No.	Name	Signature
1.		
2.		

ON THE LETTER HEAD OF THE COMPANY

LIST OF DIRECTORS:

Sr.No.	Name	DIN No.	PAN NO.	Address

ON LETTER HEAD OF PARTNERSHIP FIRM

We the partners of _____ hereby authorize the firm in terms of Clause no. ___ of the partnership deed dated _____ to register as Client with **Neo Apex Share Broking Serviecs LLP.**, Member of the National Stock Exchange of India Ltd.(NSE) Bombay Stock Exchange (BSE) and for the purpose of dealing in equity, derivatives, Currency Derivative ,Government Securities, Bonds, Debentures, Fixed Income products and any other securities as the said Member be and is authorised to honor instruction oral or written, given on behalf of the firm/trust by any one of the under mentioned partners:

Sr. No	Name	Father Name
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1.

2.

Who are authorized to sell, purchase, transfer, endorse, negotiate and/or otherwise deal through Mansi Share & Stock Advisors Pvt Ltd on behalf of the firm/trust.

Any one of the above persons are hereby authorised to sign, execute and submit such application, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this authority.

For Name of Partnership Firm

Name & Sign

(Partner)

Name & Sign

(Partner)

Mandatory (For HUF)

Date:

To,

**Neo Apex Share Broking Services LLP
C 1901 Bldg 1, Anise Grove Gorai Shimpoli Road,
Kanti park, Chikuwadi, borivali west,
Mumbai - 400092**

Sub: Declaration as "Karta"

This is to certify that, I _____ is the Karta of _____ HUF. The member comprising of the HUF are as follows:

No.	Name of Member	Sex	Relation with Karta	Date of Birth
1.				
2.				
3.				
4.				

Further in case of any change due to Death/Marriage/Birth etc. in the list of above member, the same shall be intimated to NEO APEX SHARE BROKING SERVICES LLP .

Yours faithfully,

(Signature with Stamp)