

Name of stock broker/trading member/ clearing member	: Crosseas Capital Services Pvt. Ltd.
SEBI Registration No. and date	: NSE CM SEBI Regn. No. INB 231229536, Date: October 12, 2006 NSE-F&O SEBI Regn. No. INF231229536, Date: October 12, 2006 NSE-CDS SEBI Regn. No. INE231229536, Date: August 28, 2008 BSE-CM SEBI Regn. No. INB011229532, Date: July 22, 2005 BSE-F&O SEBI Regn. No. INF011229532, Date: August 3, 2010 MSEI-CM SEBI Regn. No. INB261229539, Date: December 12, 2012 MSEI-F&O SEBI Regn. No. INF261229539, Date: December 12, 2012 MSEI-CDS SEBI Regn. No. INE261229539, Date: October 1, 2008
Registered office address	: 5th Floor Suite 37, Martin Burn house, 1 R.N Mukherjee Road, Kolkata 700001 Ph : +91 033 22436367, Fax: +91 033 22436371 Website: www.crosscap.co.in CIN: U67120WB2005PTC101074
Correspondence office address	: 1303, 13th Floor, Lodha Supremus, Dr. E. Moses Road, Worli Naka, Mumbai 400 018. Ph: +91 022 24825700, Fax: +91 022 24901323 Website: www.crosscap.co.in
Compliance officer name, phone no. & email id	: Manish O Garg - +91-22-24825700 E-mail: compliance@crosscap.co.in
CEO name, phone no. & email id	: Rajesh Baheti +91-22-24825700 E-mail : rbaheti@crosscap.co.in

For any grievance/dispute please contact Crosseas Capital Services Pvt. Ltd. at the above address or email at complaints@crosscap.co.in

In case not satisfied with the response, please contact the below mentioned exchange(s):

BSE Tel: 022 2272 8097 • E-mail Id: is@bseindia.com

NSE Tel: 022 2659 8190 • E-mail Id: ignse@nse.co.in

MSEI Tel:- 022-67318933/900 • E-mail Id:- investorcomplaints@msei.in

Clearing Member (Currency Derivatives)		
Exchange	NSE & MSEI Currency Derivatives	BSE Derivatives
Name	Axis Bank Ltd.	IL&FS Securities Services Limited
SEBI Regn. No.	INE 231308037 (NSE-CDS), INF261313634 (MSEI)	INF 011133834 (BSE-F&O)
Address	Capital Market Division, Jeevan Prakash Bldg., Sir P. M. Road, Fort, Mumbai - 400 001.	IL&FS House, Plot No. 14, Raheja Vihar, Chandivali, Andheri (East), Mumbai - 400 072.

ANNEXURE – 1
INDEX OF DOCUMENTS

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
PART I - MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC & CKYC form - Document captures the basic information about the constituent and an instruction/check list.	3-9
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	10-13
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	14-18
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	19-22
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	23-24
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	25-26
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	27
Part II - VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Running Account Authorisation	This letter is authorisation to maintain fund, securities on running account basis & for authorisation to receive contract as well other relevant documents.	28
8.	ECN Letter	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	29
9.	Additional Terms and Condition	Additional Terms / Condition required by Crosseas Capital Services Pvt. Ltd.	30
10.	Mandate for Communication of Information on Mobile and/or Email	Authorization by you in our favour to declare that providing you information by us, on your mobile and/or email, through voice call or SMS or Email shall not be considered violation of your rights	31
11.	Debit Authorisation Letter	Debit Authorisation pertaining to the depository services shall be debited to Trading account	31
Part III - MODEL FORMATS			
12.	HUF Declaration	Declaration for carrying trades in HUF	32
13.	Partnership Letter	Declaration for recognitions of Trading a/c.	33
14.	Board Resolution	Board Resolution to empower corporates to deal in Capital market, F&O, Currency etc.	34
15.	ShareHolding Pattern	Details of shareholding more than 5%	34
16.	FATCA / CRS Declaration	FATCA Declaration for where client hold tax residency	35

The PMLA Literature Policy is available on our website: www.crosscap.co.in

**TO BE FILLED IF CLIENT DOES NOT HAVE KRA
ANNEXURE - 2**

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

IDENTITY DETAILS			
Name of the Applicant			
Father's/ Spouse Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	Marital status	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried
Date of birth		Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others
Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National		
PAN			
Specify the proof of Identity submitted		Unique ID No./Aadhaar, if any:	

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it.

ADDRESS DETAILS							
Residence Address				Permanent Address (If different from Residence Address or overseas address mandatory for Non-Resi. Applicant)			
City		Pin		City		Pin	
State		Country	India	State		Country	India
Resi No. (s)		Off. No. (s)		Resi No. (s)		Off. No. (s)	
Fax No. (s)				Fax No. (s)			
Mobile No.				Mobile No.			
Email id				Email id			
Specify the proof of add. submitted for Resi. Add.				Specify the proof of add. submitted for Permanent Add.			

DECLARATION				
I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.				
Name				Signature
Place		Date		

FOR OFFICE USE ONLY			
<input type="checkbox"/> Originals verified documents received & (Self-Attested) Self Certified Document copies received	Documents verified with originals & In-person verification done by		Seal/Stamp of the intermediary
	Name of the employee		
	Designation		
	IPV done on date		
	Signature		

TO BE FILLED IF CLIENT DOES NOT HAVE KRA
KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in ENGLISH and in BLOCK LETTERS.

For Non-Individuals

IDENTITY DETAILS							
Name of the Applicant							
Date of incorporation				Place of incorporation			
Date of commencement of business							
PAN				Registration No. (e.g. CIN)			
Status (please tick any one): <input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust							
<input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization							
<input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify)							
ADDRESS DETAILS							
Correspondence Address				Registered Address (If different from Correspondence Address)			
City		Pin		City		Pin	
State		Country	India	State		Country	India
Resi No. (s)		Off. No. (s)		Resi No. (s)		Off. No. (s)	
Fax No. (s)				Fax No. (s)			
Mobile No.				Mobile No.			
Email id				Email id			
Specify the proof of add. submitted for Corr. Add.				Specify the proof of add. submitted for Regd. Add.			
OTHER DETAILS							
Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: Please provide details on Annexure-A attached.							
DIN of whole time directors: Provide details on Annexure-A attached.							
Aadhaar number of Promoters/Partners/Karta: Provide details on Annexure-A attached.							
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 changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we aware that I/we may be held liable for it.							
Name of the Authorised Signatory							
Place		Date		Signature			
(Please affix relevant stamp as applicable.)							
FOR OFFICE USE ONLY							
<input type="checkbox"/> Originals verified documents received & (Self-Attested) Self Certified Document copies received	Signature of the Authorised Signatory			Seal/Stamp of the intermediary			
	Name						
	Signature						
	Designation						
Date							

TO BE FILLED IF CLIENT DOES NOT HAVE KRA

Annexure - A

Details of Promoters / Partners / karta / Trustees and whole time directors forming a part of KYC Application Form for Non-Individuals

Name of Applicant: _____

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____ Email: _____ Signature: _____	PHOTOGRAPH Please affix your recent passport size photograph and sign across it.
---	--

- Please tick, if applicable:
- Politically Exposed Person (PEP)
 - Related to a Politically Exposed Person (RPEP)
 - Not applicable

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____ Email: _____ Signature: _____	PHOTOGRAPH Please affix your recent passport size photograph and sign across it.
---	--

- Please tick, if applicable:
- Politically Exposed Person (PEP)
 - Related to a Politically Exposed Person (RPEP)
 - Not applicable

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____ Email: _____ Signature: _____	PHOTOGRAPH Please affix your recent passport size photograph and sign across it.
---	--

- Please tick, if applicable:
- Politically Exposed Person (PEP)
 - Related to a Politically Exposed Person (RPEP)
 - Not applicable

Name: _____ Regd./Residential Address: _____ _____ Tel./Mobile No.: _____ DIN Number: _____ Unique Identification Number(UID) / AADHAAR if Any: _____ Relationship with Applicant: _____ PAN: _____ Email: _____ Signature: _____	PHOTOGRAPH Please affix your recent passport size photograph and sign across it.
---	--

- Please tick, if applicable:
- Politically Exposed Person (PEP)
 - Related to a Politically Exposed Person (RPEP)
 - Not applicable

Date

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/PIOCard/OCICard 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
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.)

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

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

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 FI/sub account, Power of Attorney given by FI/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, FVCI, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List 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.

Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

4.2 Correspondence/Local ADDRESS DETAILS* (Please see instruction E at the end)

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

Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

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

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

Address

Line 1*

Line 2

Line 3 City/Town/Village*

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

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

Tel. (Off) - Tel. (Res) - Mobile -

Fax - Email ID

6. DETAILS OF RELATED PERSON (please refer instruction G at the end)

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

Related Person Type* Guardian of Minor Assignee Authorised Representative

Name* Prefix First Name Middle Name Last Name

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

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

A-Passport Number Passport Expiry Date - -

B-Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date - -

E- UID (Aadhaar)


F- NREGA Job Card

Z- Others (any document notified by the central government) ID No.

S- Simplified Measures Account - Document Type code ID No.

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

Date: - - Place: **Signature / Thumb Impression of Applicant**

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date: <input type="text"/> - <input type="text"/> - <input type="text"/>	Name <input type="text" value="CROSSEAS CAPITAL SERVICES PVT. LTD."/>
Emp. Name: <input type="text"/>	Code <input type="text" value="IN0173"/>
Emp. Code: <input type="text"/>	[Institution Stamp]
Emp. Designation: <input type="text"/>	
Emp. Branch: <input type="text"/>	
[Employee Signature]	

CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

General Instructions:

- Fields marked with '*' are mandatory fields.
- Tick '✓' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Either **father's name** or **spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/ services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code Description

- 01 Identity card with applicants's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
- 02 Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code Description

- 01 Utility bill which is not more than two months old of any service provider (electricity, telephone, postpaid mobile phone, piped gas, water bill).
- 02 Property or Municipal Tax receipt.
- 03 Bank account or Post Office savings bank account statement.
- 04 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- 05 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. Similarly, leave and license agreements with such employers allotting official accommodation.
- 06 Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address detail's section

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F Clarification / Guidelines on filling 'Contact details' section

- Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section

- Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [PoI] of Related Person' section

- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT(S) DETAILS (Through which transactions would be routed) as per proof attached.










Bank Name	Branch Address	Bank Account No.	Account Type: Saving/Current/Others-In case of NRI/NRE/NRO	MICR Number	IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS (Through which transactions would be routed) as per proof attached.

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

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	Segments (Please affix relevant stamp if applicable.)		
	Cash	Derivatives	Currency Derivatives
BSE			
NSE			
MSEI			

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

D. OTHER DETAILS

1. Gross Annual Income details (please specify) : Income Range per annum <input type="checkbox"/> Upto Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,001/- to Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,001/- to Rs. 10,00,000/- <input type="checkbox"/> Rs. 10,00,001/- to Rs. 25,00,000/- <input type="checkbox"/> Rs. 25,00,001/- to Rs. 1 Crore <input type="checkbox"/> Above Rs. 1 Crore	
2. Net worth as on Date: _____ Rs. _____ (Net worth should not be older than 1 year)	
3. Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others
4. Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
5. Any other information	

E. 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: Yes No If yes, attach annexure giving details

F. 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 Registration number: _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

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

Name of stock broker: _____

Name of sub broker, if any: _____

Client Code: _____ Exchange: _____

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

G. 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: _____
- Any other information: _____

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
(Surname) (Name) (Middle Name)

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify _____

Address and phone no. of the Introducer: _____

Signature of the Introducer: _____

I. NOMINATION DETAILS (for individuals only)

I/We wish to nominate

I/We do not wish to nominate

Name of the Nominee: _____ Relationship with the Nominee: _____

PAN of Nominee: _____ Date of Birth of Nominee: _____

Address and phone no. of the Nominee: _____

If Nominee is a minor, details of guardian:

Name of guardian: _____

Address and phone no. of Guardian: _____

Signature of guardian: _____

WITNESSES (Only applicable in case the account holder has made nomination)

Name _____ Name _____

Signature _____ Signature _____

Address _____ Address _____

DECLARATION

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

Place _____ (_____)

Date _____ **Signature of Client/ (all) Authorized Signatory (ies)**
(Please affix relevant stamp if applicable.)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

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

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

Signature of the Authorised Signatory

Date _____

Seal/Stamp of the stock broker

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. Self-certified 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. (Not more than 3 months old)
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 STOCK BROKERS, SUB-BROKERS AND CLIENTS
AS PRESCRIBED BY SEBI AND STOCK EXCHANGES**

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure

- to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
 15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
 16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
 17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/ e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/ stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/ stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

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.)

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.

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.

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

TRANSACTIONS AND SETTLEMENTS

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

transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

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

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

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

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

POLICIES AND PROCEDURES

MANDATORY

This is a mandatory document dealing with policies and procedures for each of the following headings, as followed by Crosseas Capital Services Pvt. Ltd. for its clients:

A) REFUSAL OF ORDERS FOR PENNY STOCKS:

Penny stocks are scripts which have low value / low capitalization / less liquidity / illiquid scripts as specified by the Exchange or any other stock as Crosseas Capital Services Pvt. Ltd. may feel proper. Crosseas Capital Services Pvt. Ltd. reserves the right to refuse orders for penny stocks unless and until the client is able to provide sufficient reason for investment / divestment in such stock, as well as bring in the total funds / securities in advance towards intended funds / securities obligation as the case may be.

B) SETTING UP CLIENT'S EXPOSURE LIMITS:

Crosseas Capital Services Pvt. Ltd. computes and assigns exposure limits based on its own assessment of market / security risks in combination with its assessment of client specific risk. The limits and exposures shall therefore vary from client to client and portfolio to portfolio. In the F&O segment, the minimum margin applicable shall be the statutory margin as required to be collected upfront by the concerned exchange. The risk management team shall be available during market hours to inform the clients of their set exposure limits upon request / telephonic enquiry.

C) APPLICABLE BROKERAGE RATE:

The brokerage to be levied on trades executed through Crosseas Capital Services Pvt. Ltd. shall not exceed the rates as prescribed by the Exchange/SEBI. Crosseas Capital Services Pvt. Ltd. shall take written consent of the client, should the applied brokerage be revised upwards within prescribed by the Exchange/SEBI.

D) PENALTY / DELAYED PAYMENT CHARGES:

Clients may be charged delayed payment charges on debit balances overdue @18% p.a. from the date such amounts become due till the time of realization of such amounts on reducing balance basis.

Only clients who are levied delayed payment charges shall receive delayed payment charges on credit balances overdue @ 18% p.a. on reducing balance basis under the following conditions:

- a) For clients who are not maintaining funds on a running / current a/c basis with Crosseas Capital Services Pvt. Ltd., from the date such amounts become due till the time of payment of such amounts provided client has no outstanding funds / securities / trade obligation / position on such due date.
- b) For clients who are maintaining funds on a running / current a/c basis with Crosseas Capital Services Pvt. Ltd., from the date + 2 working days such amounts were demanded till the time of payment of such amounts, provided client has no outstanding funds / securities / trade obligation / position on the date of such demand. The client shall also indemnify Crosseas Capital Services Pvt. Ltd. against all charges / penalties / costs that Crosseas Capital Services Pvt. Ltd. may incur due to non fulfillment of client's obligations with respect to trades / positions / limits / deliveries / funds pay ins / margins/ etc and Crosseas Capital Services Pvt. Ltd. shall debit the client account with such charges / penalties / costs.

E) RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENT'S POSITION TO THE EXTENT OF MARGIN/SETTLEMENT RELATED OBLIGATION:

Crosseas Capital Services Pvt. Ltd. reserves the right to sell client's securities and/or close out position without any intimation to the client in the following circumstances:

- a) The client is running a debit balance which is overdue by more than 24hrs.
- b) In circumstances where the real time MTM loss of the client crosses 90% of the total available credit balance at the time.
- c) The client fails to bring in minimum margins as required to be collected by the respective exchanges as per the margin statement sent to the client.
- d) The client fails to bring in additional margins over and above statutory margins as required by Crosseas Capital Services Pvt. Ltd. based on its own assessment of risk within 24hrs of receiving written / email communication from Crosseas Capital Services Pvt. Ltd. of such requirements.
- e) The cash component of margins provided by the client falls below 50% of the total margins provided by the client. In these circumstances, Crosseas Capital Services Pvt. Ltd. reserves the right to liquidate securities to the extent required to increase the cash component to 50%.
- f) Crosseas Capital Services Pvt. Ltd. also reserves the right to close out position of the client who is in breach of any of the terms and conditions. Provided that Crosseas Capital Services Pvt. Ltd. shall sell client's securities

and/or close out position to the extent of the debit balance/margin required for compliance as mentioned above, rounding off amounts excluded.

F) SHORTAGES ARISING OUT OF INTERNAL NETTING OF TRADES:

If the client fails to deliver a stock sold for delivery which is to be received internally by another client, client shall be given till T+1 day to buy the stock to enable delivery to the receiving client. The following rules shall apply for the same:

- The client responsible for the first instance of shortage shall be responsible for any further auction of securities should the receiving client fail to deliver the same owing to delay in pay out to him.
- For clients not covering the short on T+1 day, a close out at LTP + 10% shall be effected on the price of the security on T+1 day.

G) CONDITIONS UNDER WHICH CLIENTS MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE EXISTING POSITION MAY GET CLOSED:

Crosseas Capital Services Pvt. Ltd. reserves the right to refuse any order that increases the position / exposure of the client at any time without assigning any reason whatsoever. In such a situation, the client may withdraw the excess margin forthwith, but cannot force Crosseas Capital Services Pvt. Ltd. to fill the order to increase position further. Client cannot claim "opportunity loss" from Crosseas Capital Services Pvt. Ltd. under any circumstances. Clients' existing position may be closed under the same circumstances as listed in point E herein before for close outs / sale of securities.

H) TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST:

The account of the client can be suspended temporarily on specific written request received from the client.

I) DEREGISTERING A CLIENT:

The Member will de-register a client without any prior intimation / notice, in addition to the termination clause of the client member mandatory and voluntary client registration documents, with regards to:

- a) The client being declared a defaulter by any of the regulatory bodies of the country or under any law being in force;
- b) In the event of member becoming aware of any proceedings being initiated against the client by any of the regulatory bodies of the country or under any law being in force or the client being involved in any criminal proceedings or any illegal business or the member becoming aware of the client's past offences which are illegal or prohibited by the regulatory bodies of the country or under any law being in force
- c) The death of the client;
- d) The depository account with member is closed and no alternative depository account details are provided;
- e) The client makes a voluntary written request to de-register itself/himself;
- f) In the event of member becoming aware of client defaulting in meeting its obligation to the member
- g) On the specific written directions of any statutory / legal authority / Regulatory Authority.
- h) The account so de-registered will be considered as a dormant account if the specific reason due to which the de-registration has occurred is not cleared within a period of 12 months.
- i) All the assets lying with the member will be returned to the client and all the open transactions, if any, will squared off and the profit / loss till the time of square-off would be adjusted from the assets lying with the member.

The client will be required to submit the papers regarding clearing of the de-registration reason and on submission of written request and updated income proof, then only the client will be allowed to operate the account.

J) PROPRIETARY TRADING BY MEMBER:

Crosseas Capital Services Pvt. Ltd. hereby informs you that it is doing proprietary trading for itself in the market (SEBI Circular No. SEBI/MRD/SE/Cir-42/2003 dated 19.11.2003).



Signature

TARIFF SHEET

Exchange	Segment	Maximum Applicable Brokerage %	Brokerage Minimum Amount
Any	Cash Non Delivery		
Any	Cash Delivery		
Any	Stock / Index Futures		
Any	Stock / Index Options		
Any	Currency Futures		
Any	Currency Options		
Any	IR Futures		
Any	IR Options		

Statutory taxes extra as applicable.

In addition to brokerage, applicable transaction charges to cover exchange / clearing / SEBI / other statutory duties / taxes shall apply (as applicable from time to time)

SUB: ORDER EXECUTION AUTHORISATION**VOLUNTARY**

You are requested to kindly note that the orders placed / modified / cancelled by me / us should NOT be noted in the order book, and that same is a time consuming affair and may lead to loss due to non-execution of the orders in time due to the formalities involved. I / We hereby authorize you to accept verbal / telephonic instructions for placement / modification / cancellation of orders.

RUNNING ACCOUNT AUTHORISATION**VOLUNTARY**

(Please be informed and note that these additional clause(s) / document(s) are voluntary. Executing or issuing them is at your discretion. Simultaneously sight should not be lost of the fact that they are essential to ensure smooth functioning our 'Member - Client' relationship. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

CROSSEAS CAPITAL SERVICES PVT. LTD.

Dear Sir,

Re: Running Account Authorisation

We are aware that as per the SEBI / Exchange requirements, payout of funds or securities ought to be done within twenty-four hours of the payout. However, in light of my regular trading and non-availability in town at times, we request you to treat and maintain my / our account as a running account. Consequently, you may retain my / our securities and funds due to us after Exchange payout or release of margin with yourselves until sought by me / us. The transfers will be effected within one working day of my/our request. In accordance with SEBI stipulations, this authorisation.

- 1 Is revocable at any point of time.
- 2 Is subject to the fact that I/ We will receive your 'statement of accounts' showing financial and securities transactions with balances every monthly/quarterly.
- 3 Disputes if any will be intimated to you within seven working days of receipt of statements to me / us.
- 4 In case of outstanding obligation on the settlement date, you may retain the requisite funds/ securities towards such obligation 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 exchange.
- 5 In case of outstanding obligation on settlement date you may retain an amount of up to Rs 10,000/- (net amount across segment and across stock exchanges)

I/We further agree and confirm that such periodic settlement of Running Account may not be necessary, either on a monthly or Quarterly basis, if I/we

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

 Quarterly

 Monthly

However I understand that despite my preference for a quarterly settlement, you may at your discretion make a settlement on monthly basis, in the first quarter of my relationship with you.

Client Signature: _____

(Please affix relevant stamp if applicable.)

Client Name: _____

Note: The authorisation shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

ECN AUTHORISATION**VOLUNTARY**From: _____

Date: _____

Dear Sirs,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I / We hereby agree and consent to accept the contract notes for transactions carried on by me/us on BSE/NSE/MSEI with you in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.
You can also send me/us my/our margin statement in digital form with contract notes.
2. I / we undertake to check the contract notes and bring the discrepancies to your notice within reasonable time of such issuance of contract notes. My /our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: compliance@crosscap.co.in
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval of 1 year. If the client intends to view the digital contract notes for a period prior to 1 year client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract note at the e-mail ID of the client.
11. Digital Contract Notes will also be available at our Web-site: www.crosscap.co.in
12. Any change in the E-mail ID shall be communicated by us / me through a physical letter.

Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

I understand that any change in the above email ID can be made by you only against a physical letter personally signed by me, or alternatively if the request is made through the password protected secured access as provided on your website.

I undertake to check the electronic contract notes regularly and bring the discrepancies, if any to Crosseas Capital Services Pvt. Ltd. notice within reasonable time of issuance of such digital contract notes.

I also understand that Non-Bouncing of the Electronic Contract Notes (ECN) shall be construed as a valid deemed delivery of the digital contract notes and other electronic documents sent to me, and you shall send physical contract notes to me only in case of any ECN's bounced back to you from my email id.

Failure on my part to check/verify the contract notes on regular basis shall not be a reason for disputing the digital contract note at any time and the payment obligations and transactions and trades shall be adhered to and cleared by me.

Yours faithfully,



(Client Signature)

(Please affix relevant stamp if applicable.)

ADDITIONAL TERMS AND CONDITIONS**VOLUNTARY**

In consideration of the mutual understanding as set forth, the parties thereto have agreed to the following terms and conditions:

GENERAL TERMS & CONDITIONS

1. All orders of the Client shall be routed through the computerised trading system of the Exchange via - Computer Systems of the stock broker. The stock broker shall not be responsible for any failure to enter/modify/cancel orders facilities on account of any technical, mechanical, power, or similar failures of its systems, including suspension of trading by the Exchange, or any other circumstances beyond the control of the Stock broker.
2. In case of the clients residing/located outside the State of Maharashtra as per the billing address mentioned in the client registration Form, any liability of Stamp Duty, if and when claimed, by the respective State Government where the client is residing / located, shall be settled by and between the Client and the respective State Government directly, and the Stock broker shall not be held responsible for this liability. For Clients residing / located in Maharashtra, the Stock Broker shall pay stamp duty as applicable to the State of Maharashtra.
3. The client agrees that any securities/monies placed by him/it as margin may in turn be placed as margin by Stock broker with the Exchange by way of securities/monies including Bank Fixed Deposits as the Stock broker may deem fit. No interest shall be paid to the client on such deposits unless expressly agreed upon separately in writing between the Stock Broker and the Client. The client authorizes the Stock broker to do all such acts, deeds and things as may be necessary and expedient for placing such securities / monies with the Exchange as margin.
4. In case of delay of payment by the Client to the Stock broker on its due date, the Stock broker in respect of such delayed payment will charge interest. The said delayed payment shall include amounts payable by the Client to the Stock broker in respect of daily margin and mark to market and other related margins and payin obligations. Interest will be levied at the maximum rate of 18% p.a. for the delayed period.
5. All fines/ penalties and charges levied on you due to my / our transactions / deeds / actions are recoverable by you from my / our account(s).
6. The Client agrees that it will not make any third party payment (other than what is specified in the KYC form). The broker shall reject such third party cheques/ payments and the Client will not hold the broker responsible for any loss incurred in such cases.
7. Tape recording of Client conversation: The Client is aware that the Stock Broker tape-records the conversation between the client and the Stock Broker, either personally or over the telephone, and the Client hereby specifically permits the Stock broker as and when required to resolve disputes in connection with the transaction.
8. For the purpose of this, the term "Dues of Client" shall include the amount of monies payable by the Client including, but not limited to the purchase price of the securities, Brokerage, Margin money, GST, Turnover Tax, Auction Debit and Charges, Services Charges, and other lawful amount agreed to and payable by the Client to the Stock Broker.
9. The Client shall deposit with the Stock Broker money's / securities, which may be required to open and / or maintain his /her, their accounts. All moneys, securities, which Member may hold on Client account, shall be held subject to general lien for the discharge of Clients obligations to member under this term & conditions.
10. The Broker shall not take any responsibility for unexecuted orders. All on-line Best-Market orders would NOT be presumed as executed unless confirmed as trade by the respective exchanges trading system.



Signature

(Please affix relevant stamp if applicable)

VOLUNTARY

Date: _____

From : _____ **Unique Client Code**

--	--	--	--	--	--	--	--	--	--

To,
Crosseas Capital Services Pvt. Ltd.

Dear Sir / Madam,

Sub: SMS and E-mail alerts sent by stock exchanges directly to investor

Ref: Trading & Unique Client Code (as mentioned above)

I/We understand that as per the circular given by the SEBI, had advised the Stock Exchange to provide the facility of SMS and email alerts to investors.

In view of these guidelines, I/We wish do not wish to avail the

- SMS
- E-mail
- Both

Alert facilities provided by the Exchanges (Cash and / or F&O and / or Currency Segments on NSE / BSE/MSEI, 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:

+	9	1	-																
---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Email id for E-mail alert:

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,



Signature

(Please affix relevant stamp if applicable.)

AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES

VOLUNTARY

Date: _____

CROSSEAS CAPITAL SERVICES PVT. LTD.

This has reference to my Trading & Beneficiary accounts opened with Crosseas Capital Services Pvt. Ltd., 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.

Kindly do the needful as requested.

Client Name: _____

Client Signature: 

(Please affix relevant stamp if applicable.)

HUF DECLARATION

Date: _____

I hereby request you to open out Demat account with you, for our HUF.
Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. _____ .

Sr. No.	Name of Family Members	Sex	Relations	Date of Birth

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,



Karta

(Affix stamp of HUF)

PARTNERSHIP LETTER

(On the letterhead of the firm)

To,

Crosseas Capital Services Pvt Ltd

We the undersigned are partners in the firm carrying on business under the name and style of M/s _____ and wish to register the firm with you as client for the purpose of trading / investment business on NSE/BSE/MSEI.

Any/all transactions entered into with you by all or any one or more of us and all obligations incurred by all or any one or more of us shall be binding on the firm and all or any one or more of us and also the assets of the firm shall be liable for all dues to you with respect to dealings on NSE/BSE/MSEI.

In addition, we authorise the following person/persons to conduct dealings on behalf of the firm with you and all transactions entered into with you by all or any one or more of them and all obligations incurred by or any one or more of them shall be binding on the firm and all or any one or more of us and also the assets of the firm shall be liable for all dues to you with respect to dealings on NSE/BSE/MSEI.

Name of Authorised Person/s

Signature of Authorised Person/s

1. _____

2. _____

Name of Partners

Signature of Partners

1. _____

2. _____

3. _____

4. _____

BOARD RESOLUTION (CORPORATES)

(On the letterhead of the firm)

Certified copy of an extract from the minutes of the meeting, of the Board of Directors of _____
_____, duly convened and at which a proper quorum was present, held at _____
_____ on the ____ day of _____ 20____ .

We hereby certify that the following resolution of the Board of Directors of _____
was passed at a meeting of the Board held on _____ and has been duly recorded in the minute book of
the said company:

Resolved that the company be and is hereby authorised to open a client account/s with Crosseas Capital Services Pvt. Ltd.

for the purpose of undertaking dealings/transactions on all segments of NSE/BSE/MSEI.

Resolved further that Mr. _____ is hereby authorised to
operate the account and to conduct all dealings on behalf of the Company with Crosseas Capital Services Pvt. Ltd.
for the above purpose.

Certified True Copy

Date: _____
_____ Chairman of the meeting _____ Secretary

FORMAT OF SHARE HOLDING PATTERN (CORPORATES)

(On the letterhead of the firm)

Certified Date : _____

submitted by _____ to

Share holding Pattern of _____ as on _____

Equity / Preference (Please indicate and use separate sheets for equity / preference shares)

Sr. No.	Number of shares held	Face value per share	Amt paid up (Rs. in lakh)	% of total
1				
2				
Others				
Total				100%

\$ All initials to be expanded

Notes : Persons holding 5% or more of the paid up capital should be shown separately and not clubbed in others.

Date:

Place: Authorised Signatory / Director (s)

CERTIFICATE

This is to certify that the shareholding in _____ as given above, based on
my/our scrutiny to the books of accounts, records and documents it is true and correct to the best of my/our
knowledge and as per information provided to my/our satisfaction.

Place: _____ For (Name of Account Firm)

Date:

Name of Partner / Proprietor _____ Chartered Accountant

Note: Beneficial Owner means the natural person who ultimately owns or controls a client and or the person on whose behalf a
transaction is being conducted and includes a person who exercise ultimate effective control over a juridical person.

To,
Crosseas Capital Services Pvt. Ltd.
 1303, 13th Floor, Lodha Supremus,
 Dr E Moses Road, Worli Naka,
 Mumbai - 400 018
Member - BSE / NSE/MSEI

Kindly note the following details for my / our

UCC Code: _____

Date: _____

FATCA/CRS Details

Sr. No.	Details	
1	Place and country of Birth	
2	Are you assessable to tax in any country other than India (yes/no)	
3	If no, we declare that	I/We are Indian citizens, my/our residence for tax purposes is India and I/we am/are not a "US person" as defined in Rule 114F of the Income Tax Rules, 1962
4	If yes, then kindly provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country (in case of multiple countries, kindly give for all the countries)	

I/We understand that you are relying on this information inter alia for the purpose of determining my/our status in compliance with FATCA/CRS. You are not able to offer any tax advice on CRS or FATCA or its impact on me/us.

I/We shall seek advice from professional tax advisor for any tax questions. I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect. I/We agree that as may be required by domestic regulators/ tax authorities, you may also be required to report, reportable details to CBDT or close or suspend my account.

I/We certify that I provide the information on this form and to the best of my knowledge and belief the certification is true, correct and complete. Kindly update the above data on the CDSL systems, the KRA systems and your back office systems.



Signature of Client

Client Name: _____

Place: _____

Confirmation of Receipt of executed documents

Client Code: _____

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form, Rights and Obligations, RDD, Policies and Procedures, Guidance Note, Do's and Dont's, Tariff Sheet and all mandatory and voluntary client registration documents as executed by me/us.

Signature of Client: _____

(Please affix relevant stamp if applicable.)