



Client Registration Kit
UNITED SHARE BROKERS LTD.

Member - NSE Capital Market & F&O Segment

Equity SEBI Registration No. INZ000235634

Exchange Registration Nos : NSE : 08380

KINDLY NOTE

- 1. Attach copy of Documentary evidence for address and identity proof of introducer.**
- 2. If any proof of client is in language other than Hindi and English, Notarized copy for the same will be accepted.**
- 3. KYC Form should be filled by client in own handwriting. All documents must be self attested by client and “Verified By Original” by Introducer / intermediary.**
- 4. Signature & Stamp of Intermediary no 4 (for Individual), page no 6 (for non individual), page no 7 (EI)**
- 5. “Tick List” at the end of KYC must be properly filled.**

DOCUMENTS REQUIRED AS PER SEBI CIRCULAR CIR/MIRSD/16/2011 DATED 22-08-2011
Read with SEBI Circular bearing Reference No. MIRSTD/SE/CIR-19/2009 dated 3-12-2009

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Instructions	Instructions / Check List for Filling KYC Form	1
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4.	Disclosure Information	Pro-Account Disclosure Information	8
5.	Tariff Sheet	Detailing the rate / amount of brokerage & other charges	8
6.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual & Non-Individual	9-11
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VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
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13.	Running Account Authorisation	Helps the client to enjoy exposures linked to the credit in the trading account	29
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17.	Declaration for Name Mismatch	For authorizing the payout as per enclosed Bank proof.	32
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Name of Stock Broker- UNITED SHARE BROKERS LTD.

Registered Office address : Plot no. 311, Ashoka Enclave Extension-III, Faridabad-121003 (Haryana)

Phone : +91-129-4133851 Fax : +91-129-4136822

E-mail : usbl.client@gmail.com Website : www.unitedsharebrokers.com

Compliance Officer : Ashwani Kumar Thukral

E-mail Id : thukralashwani@yahoo.com

Phone No. : +91-129-4133851

CEO : Naveen Kumar Singh

E-mail Id : navk47@gmail.com

Phone No.: +91-120-4240335

I/We have fully understood the distinction and details regarding the Mandatory/Non-Mandatory documents as above and do hereby enter and sign the same and agree not to call into question the validity, enforce ability and applicability of any voluntary agreement(s)/ document(s) or clauses within any voluntary/optional agreement(s)/document(s) under any circumstances what so ever.

Sign here : (1) 

ACKNOWLEDGEMENT TO UNITED FROM CLIENT

To,
UNITED SHARE BROKERS LTD.
Plot No. 311, Ashoka Enclave Extension-III,
Faridabad-121003 (Haryana)

I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-


- Account Opening Form
- Trading and Demat Account Related Details
- Disclosure information by United Share Brokers Ltd.
- Tariff Sheet
- Right and Obligations of Stock Brokers, Sub-Brokers and Clients
- Internet and Wireless technology based trading facility provided by Stock Brokers to Client
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- FATCA & CRS terms and conditions
- Policies and procedures
- Copy of POA (Power of Attorney)
- Other disclosure/documents as agreed by me specifically in voluntary segment.
- Terms and Conditions as Mutually agreed by me & FATCA & CRS Terms & Conditions.

I/we am/are abiding by these terms & conditions. I/we reconfirm that I/we and stock broker shall refer any claim and/or disputes with respect to deposits, margin money, etc, to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time.

I/We reconfirm that I/we and Stock Broker shall refer all claims, differences or disputes between us arising out of or in relation to dealings, contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into to arbitration in accordance with the provisions of these Byelaws and Regulations.

Thanks and Best regards,

Client Code : _____

For _____
Sign here :  <input type="text"/>

Authorised Signatory Name

For United Share Brokers Ltd.

Authorised Signatory / Director

Date : _____

----- ✂ ----- (Tear Here) ----- ✂ -----

ACKNOWLEDGEMENT TO CLIENT FROM UNITED



UNITED SHARE BROKERS LTD.

Date : _____

We hereby acknowledge the receipt of the Account Opening Form (KYC) with thanks from

Client Name	
Client PAN	
Branch Name	
Branch Mobile No. & E-mail ID	
Head Office	Plot No. 311, Ashoka Enclave Extension-III, Faridabad-121003 (Haryana)

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
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 or 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 and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled 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, FIs, 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.

F. NRI (If Non Resident/Foreign National, self certified copy of statutory approval obtained must be attached)**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 trusts 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

Please Submit the KYC Documents on A4 Size Paper Only.

ANNEXURE

Applicant Name _____

PAN of the Applicant _____

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :

1. Name _____
Date of Birth |d| |d| / |m| |m| / |y| |y| |y| |y| Status _____ PAN _____
Residential Address _____
DIN _____ UID _____ DPIN _____
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

2. Name _____
Date of Birth |d| |d| / |m| |m| / |y| |y| |y| |y| Status _____ PAN _____
Residential Address _____
DIN _____ UID _____ DPIN _____
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

3. Name _____
Date of Birth |d| |d| / |m| |m| / |y| |y| |y| |y| Status _____ PAN _____
Residential Address _____
DIN _____ UID _____ DPIN _____
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

4. Name _____
Date of Birth |d| |d| / |m| |m| / |y| |y| |y| |y| Status _____ PAN _____
Residential Address _____
DIN _____ UID _____ DPIN _____
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

5. Name _____
Date of Birth |d| |d| / |m| |m| / |y| |y| |y| |y| Status _____ PAN _____
Residential Address _____
DIN _____ UID _____ DPIN _____
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Not a Politically Exposed Person (PEP) Not Related to a Politically Exposed Person (PEP)

Photographs of Promoters / Partners / Karta / Trustees / Wholetime / Other Directors & authorised signatories

Date : |D| |D| |M| |M| |Y| |Y| |Y| |Y|

Name & Signature of the Authorised Signatory(ies)

TRADING AND DEMAT ACCOUNT RELATED DETAILS
For both Individuals & Non-individuals

A. BANK ACCOUNT(S) DETAILS

Bank Name	Bank Address	Bank Account No.	Saving/Current/ NRI/NRO	MICR No.	IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS

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

I authorize you to transfer the shares purchased by me to the above mentioned demat beneficiary account.

C. TRADING PREFERENCE

Select and Sign against the Segment of Exchange in which Trading facility required:

Market Segment	Exchange	Signature of the Client
CASH	NSE - Cash <input type="checkbox"/> (4)	
DERIVATIVE	NSE - Derivative <input type="checkbox"/> (5)	

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. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its authorized persons in charge of dealing in securities during the last 3 years :

E. DEALINGS THROUGH OTHER STOCK BROKER AND AUTHORISED PERSONS

■ whether dealing with any other stock broker / Authorised Persons (if case dealing with multiple stock broker / authorised persons, provide details of all)

Name of Stock Broker: _____ Name of Authorised Persons, if any : _____

Client Code: _____ Exchange : _____

■ Details of disputes/dues pending from/to such stock broker / Authorised Persons : _____

Ph: _____ Fax: _____ Website: _____

F. ADDITIONAL DETAILS

■ Whether you wish to receive physical contract note or Electronic Contract Note (ECN) : _____

Specify your Email id, for ECN: O N L Y | I N | C A P I T A L | L E T T E R S | |

■ Whether you wish to avail of the facility of internet trading/ wireless technology : Yes No

If yes Please tick the mode of trade : Web base ODIN base NOW

■ Number of Years of Investment / Trading Experience : _____

■ Any other information :

(please specify)

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:

Sign here : (6) 

Signature of Client/(all) Authorized Signatory(ies)

TO BE FILLED BY INTERMEDIARY / EMPLOYEE

UCC Code allotted to the Client :

	Documents Verified with Originals	Client Interviewed By	In-Person Verification Done By
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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

For **United Share Brokers Ltd.**

Authorised Signatory / Director

Seal/Stamp of the Stock Broker

Date:

INTRODUCER DETAILS

Name of the Introducer:

Employee Code : Employee E-mail :

Mobile : Phone(with STD Code) : -

Status of the Introducer:

Sub-broker Remisier Authorized Person Existing Client Others: (Please Specify Others)

Address of the Introducer :

Signature of the Introducer :

DISCLOSURE INFORMATION (For United Share Brokers Limited)

To,
Dear Client,
Sir/Madam,

This is to inform you that we do only client based trading in National Stock Exchange of India Limited (NSE).

Thanks & best regards,

For **United Share Brokers Ltd.**

Authorised Signatory / Director

I acknowledge receipt of the information given by United Share Brokers Limited that they do only client based trading.

Sign here : (7)



TARIFF SHEET

BROKERAGE STRUCTURE

Brokerage Slab	%	Minimum Paisa
Delivery Based	<input type="text"/> %	<input type="text"/> .00 *
Daily Square up	<input type="text"/> %	<input type="text"/> .00 *
Equity Future	<input type="text"/> %	<input type="text"/> .00 *
Equity Option	<input type="text"/> %	<input type="text"/> .00 #

Sign here in case of
any cutting



*: Please don't mention any (%) or (.) mark here. It should be in terms of absolute paisa only.

#: Please don't mention any (%) or (.) mark here. It should be in terms of Rs. per Lot only.

Important Note: In case of Physical Contract notes or other related documents being dispatched to client, a difference of Rs. 25/- in total brokerage booked on a particular date would be charged toward minimum processing fee. Finance charges @2% p.m. would be charged for debit/shortage in payin/margin default, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/beneficiary/margin account for payin / payout or margin purpose will be charged. Transaction charges/Clearing Charges/other statutory charges/ courier/administration/ processing charges will be charged as applicable. Handling charges for issue of account statements, copy of contract note etc. will be charged as applicable. One time processing fee Rs. 50/- per segment and POA charges Rs.100/- shall be charged.

Sign here : (8)



FATCA & CRS DECLARATION (FOR INDIVIDUAL)

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency? Yes No

Sole/First Holder/Guardian <input type="checkbox"/> Yes <input type="checkbox"/> No		Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No		Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	
Country of Birth		Country of Birth		Country of Birth	
Country of Citizenship/ Nationality		Country of Citizenship/ Nationality		Country of Citizenship/ Nationality	
Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id
Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.
1.		1.		1.	
2.		2.		2.	
Address		Address		Address	

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

FATCA - CRS Terms and Conditions

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

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Signatures (9)  _____ (1)  _____ (1)  _____
 Sole/First Holder Signature Second Holder Signature Third Holder Signature

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

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

*In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)	
1. We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN <input type="text"/> Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____
GIIN not available (please tick as applicable)	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> (Refer 1 A of Part C)

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")	
1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3. Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> (Mention code – refer 2c of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)			
Category (Please tick applicable category): <input type="checkbox"/> Unincorporated association / body of individuals <input type="checkbox"/> Public Charitable Trust <input type="checkbox"/> Religious Trust <input type="checkbox"/> Private Trust <input type="checkbox"/> Unlisted Company <input type="checkbox"/> Partnership Firm <input type="checkbox"/> Limited Liability Partnership Company <input type="checkbox"/> Others (please specify _____)			
Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary) Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)			
Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____

Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID [¶]			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) [§]			

* To include US, where controlling person is a US citizen or green card holder

[¶] If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

^{¶¶} In case Tax Identification Number is not available, kindly provide functional equivalent

[§] Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary


DECLARATION

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

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name

Designation

(10) 

Sole/First Authorised Signatory

(2) 

Second Authorised Signatory

(2) 

Third Authorised Signatory

Place _____

Date ____/____/____

FATCA & CRS TERMS AND CONDITIONS - FOR INDIVIDUAL

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

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

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

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

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

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

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

FATCA & CRS TERMS AND CONDITIONS - FOR NON-INDIVIDUAL

I. Financial Institution (FI)

The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

- Depository institution: is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution: is an entity that holds as a substantial portion of its business, holds financial assets for the account of others and where its income attributable to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of-
 - (i) The three financial years preceding the year in which determination is made; or
 - (ii) The period during which the entity has been in existence, whichever is less.
- Investment entity is any entity:
 - ✓ That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer
 - (i) Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
 - (ii) Individual and collective portfolio management; or
 - (iii) Investing, administering or managing funds, money or financial asset or money on behalf of other persons;

or
 - ✓ The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :

 - (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or
 - (ii) The period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 (refer point 2c.)
- Specified Insurance Company: Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

• FI not required to apply for GIIN:	
A. Reasons why FI not required to apply for GIIN:	
Code	Sub-category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base

10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

2. Non-financial entity (NFE) - Entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets

(Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

c. Active NFE : (is any one of the following):

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	<p>Any NFE that fulfills all of the following requirements:</p> <ul style="list-style-type: none"> • It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; • It is exempt from income tax in India; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; <p>The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof.</p> <p>Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:-</p> <p>(I) an Investor Protection Fund referred to in clause (23EA);</p> <p>(II) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and</p> <p>(III) an Investor Protection Fund referred to in clause (23EC),</p> <p>of section 10 of the Act;</p>

3. Other definitions

(i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

(ii) Passive NFE

The term passive NFE means

- (1) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company;
 - or
 - (2) an investment entity defined in clause (1) of these instructions
 - (3) a withholding foreign partnership or withholding foreign trust;
- (Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income includes income by way of :

- (1) Dividends,
- (2) Interest
- (3) Income equivalent to interest,
- (4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE
- (5) Annuities
- (6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,
- (8) The excess of foreign currency gains over foreign currency losses
- (9) Net income from swaps
- (10) Amounts received under cash value insurance contracts

But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money-Laundering (Maintenance of Records) Rules, 2005. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

- (1) More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- (2) More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership; or
- (3) More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type:

Code	Sub-category
01	CP of legal person-ownership
02	CP of legal person-other means
03	CP of legal person-senior managing official

04	CP of legal arrangement-trust-settlor
05	CP of legal arrangement-trust-trustee
06	CP of legal arrangement-trust-protector
07	CP of legal arrangement-trust-beneficiary
08	CP of legal arrangement-trust-other
09	CP of legal arrangement-Other-settlor equivalent
10	CP of legal arrangement-Other-trustee equivalent
11	CP of legal arrangement-Other-protector equivalent
12	CP of legal arrangement-Other-beneficiary equivalent
13	CP of legal arrangement-Other-other equivalent

(v) Specified U.S. person – A U.S. person other than the following:

- (1) a corporation the stock of which is regularly traded on one or more established securities markets;
- (2) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (3) the United States or any wholly owned agency or instrumentality thereof;
- (4) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (5) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (6) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (7) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (8) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (9) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (10) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (11) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (12) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (13) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model I IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

(vii) Direct reporting NFE

A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

(viii) Exemption code for U.S. persons	
Code	Sub-category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSONS AND CLIENTS **As prescribed by SEBI and Stock Exchanges**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, authorised persons 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 authorised person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as

applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

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, Byelaws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued there under of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued there under.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to

refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in 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 there under as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, authorised person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the

other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the authorised person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the authorised person by the stock exchange and/or termination of the agreement with the Authorised Persons by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, authorised person and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
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 email 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 email as an attachment, the attached file shall also be secured with the digital signature, encrypted and nontamperable.
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, authorised person and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued there under or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued there under of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

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

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 :

I. BASIC RISKS :

I.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.

I.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.

I.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.

I.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.

I.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.

I.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 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.

2.3 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.

A. BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.exchange.com 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

B. TRANSACTIONS AND SETTLEMENTS

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

statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7(seven) working days from the date of receipt of funds securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

C. 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.

D. DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/authorised person then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/authorised person has been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

I. PENNY STOCKS

A Stock that trades at a relatively low market price with low market capitalization, these stocks are generally considered to be highly speculative and risky because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosures. Depending on the market condition and our RMS (Risk Management & Surveillance) policy, RMS reserves the right to provide the limit in Penny Stock and losses if any on account of such refusal shall be borne by the client.

2. SETTING UP CLIENT'S TRADING LIMITS

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.) The client is aware and agree that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions /limits (such as broker level/market level limits in security specific/volume specific exposures etc.) and the stock broker shall not be responsible for such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client agrees that the Stock Broker may at any time at its sole discretion and without prior notice, prohibit or restrict the client ability to place any order or trade in securities through the stock Broker or it may subject to any order placed by the client to review before its entry into the trading system and may refuse to execute/allow execution of any order due to but not limited to the reason of lack of Margin/securities or the order being outside the limits set by the Stock Broker/Exchange/SEBI and any other reason which the stock Broker deems appropriate in the circumstances. The client agrees that the losses, if any, on account of such refusal or due to delay caused by such refusal or due to delay caused by such review shall be borne exclusively by the client alone. We have margined based RMS System. Total deposit of the client are uploaded in the system and the client may take exposure on the basis of applicable margin for the respective security as per the VAR based margining system of the Stock Exchange and/or margin defined by the RMS based on their Risk perception. Client may take the benefit of "credit for sale" i.e., benefit of shares held in margin by selling the same by selecting delivery option through order entry window in the trading system, the value of the shares sold will be added with the value of deposit and on the basis of that, client may take fresh exposure. In case of exposure taken on the basis of shares margin, the payment is required to be made before the exchange pay-in date otherwise it will be liable to square off after the pay-in time or any time due to shortage of Margin.

3. CONDITION UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT

The stock broker has margin based RMS system. Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non- availability/shortage of margin as per RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/non making of payment for their pay-in obligation/outstanding debts.

4. APPLICABLE BROKERAGE RATE

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

5. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their paying/margin obligation on time as per the exchange requirement/schedule at the rate of 2% per month. The client agree that the Stock broker may impose fine and penalties for the order/trades/margin/deals/ actions of the clients which is contrary to these agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client.

6. THE RIGHT TO SELL CLIENT'S SECURITIES OR CLOSE CLIENT'S POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT, ON ACCOUNT OF NON – PAYMENT OF CLIENT'S DUE

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non-payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations. The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/closing out shall be charged to & born by the client. In case of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock Split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account. In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin/security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by making it to market or by any other method as the stock broker may deem fit in its absolute discretion. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Market to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charge levied by the exchange(s).

7. SHORTAGES IN OBLIGATION ARISING OUT OF INTERNAL NETTING OF TRADES

Stock broker shall not be obliged to deliver any securities or pay any money to

the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligation first. The policy and procedure for settlement of shortages in obligations arising out of internal meeting of trades is as under:

- a) The Short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T+2 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+3 day or Auction day on Exchange + 10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c) In case of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis action payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

8. CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT

We have margin based RMS system. Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client clear balance is also liable to square off/close out without giving notice due to shortage of margin/non/making of payment for their pay-in obligation/outstanding debts.

9. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

Stock Broker as a protective measure and also good governance carries out internal checks on the transactional activities in the clients accounts to verify trading in dormant accounts, trading in illiquid scripts, any manipulated activities by the Client's (detectable), ECN bounces and trading activities not commensurate with income declared, other money laundering activities, first time trade in future and options, spurt in volumes and any other activities which broker may feel is derogatory/detrimental to the market or client. These activities are carried out as proactive measures and some of them as various regulatory requirements. In above cases, Stock Broker may deactivate the client account in the system for the purpose of further trading activity with or without notice.

10. DEREGISTERING A CLIENT

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

- (i) If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of legal process against the client under any law in force;]
- (iii) On the death/lunacy or other disability of the Client.
- (iv) If the Client suffers any adverse material change in his /her/its financial position or defaults in any other agreement with the Stock broker;
- (v) If there is reasonable apprehension that the Client is unable to pay its debts or the client has admitted its inability to pay its debts, as they become payable;
- (vi) If the Client is in breach of any term, condition or covenant of this Agreement;
- (vii) If the client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (viii) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (ix) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (x) If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relied undertaking;
- (xi) If any covenant or warranty of the client is incorrect or untrue in any material respect;

11. INACTIVE CLIENT ACCOUNT

Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive. The client has to make written request for reactivation of their account.

12. CLIENT ACCEPTANCE OF POLICIES AND PROCEDURES STATED HEREIN ABOVE:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstance what so ever. These policies and Procedures may be amended/changes unilaterally by the broker, provided the change is informed to me/us through any one or more means or methods. I/we agree never to challenges the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and stock broker before any court of law/judicial/adjusting authority including arbitrator mediator etc.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING LETTER

UNITED SHARE BROKERS LTD.

Plot No. 311, Ashoka Enclave Extension-III,
Faridabad-121003 (Haryana)

Sub : Internet & Wireless Technology Based Trading

Sir,

I/We wish to trade through Internet & Wireless Technology Based Trading (IWTBT) facility provided by you as per the options mentioned below.

I/We want to opt for Web Base Trading/ United Connect NOW (NSE ON WEB)

I/We hereby confirm you to send my/our username and password and other related information on the e-mail address mentioned by me/us in KYC.


Further, I/We confirm that I/We have fully read and understood the provisions laid down in the attached annexure pertaining to Internet & Wireless Technology based trading facility provided by stock brokers to clients and do hereby acknowledge the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses in this document under any circumstance what so ever.

Thanks and Best Regards

for

Name: _____

Trading Code: _____

Sign here : (I) 

Date : _____

RUNNING ACCOUNT AUTHORISATION

UNITED SHARE BROKERS LTD.

Plot No. 31 I, Ashoka Enclave Extension-III,
Faridabad-121003 (Haryana)


I/We are dealing through you as a client in Capital Market and/or Future & Option segment and in order to facilitate ease of operations and upfront requirement of margin for trade, I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account
 Once in every calendar Quarter or
 Once in a calendar month
or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. I/We further authorize you to retain an amount of upto Rs. 10,000/- (net amount across segment and across stock exchanges) in order to avoid administrative/operational difficulties in settling my/our account. The same may be released on my/our specific request.

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

Thanking you

Yours faithfully,

Sign here : (12) 

Client Name: _____

Client Code: _____

Date: _____

GENERAL AUTHORITY

UNITED SHARE BROKERS LTD.

Plot No. 311, Ashoka Enclave Extension-III, Faridabad-121003 (Haryana)


Dear Sir,

Sub: Letter of Authority

I/we dealing with you as client at NSE in cash & Derivative and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all securities which I/We have given you in margin including the payout securities received by us for meeting margin/order obligation in any of the stock exchanges/clearing house/clearing corporation in whatever manner which may include pledging of shares in favor of bank and/or taking loan against the same or meeting margin/pay-in obligation on my/our behalf or for giving the same as margin to any of the stock exchanges/ clearing house/clearing corporation or otherwise. Further, I/We shall when called upon to do so forthwith from time to time provide a Margin Deposit and/or furnish additional Margin as required under the Rules and Regulations in respect of the business done by me and/or as agreed upon by me with the Trading Member.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. We request that you/exchange/other regulatory authority may send/dispatch us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
8. I/We will inform you the change of my/our email: ID, demographic detail and other detail like Bank, DP etc.
9. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, nonavailability or malfunctioning of your System or Service for any reason whatsoever.
10. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
11. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
12. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
13. All fines/penalties and charges levied upon you due to my acts / deeds or transaction may be recovered by you from my account.
14. I have a Trading relationship with UNITED SHARE BROKERS LTD. I agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.
15. I agree that if my contract note bounce for more than 5 times you may dis-continue sending contract note/other documents/details/information on my email and will start sending physical documents and the same my attract administration/other charges.
16. For the purpose of providing quality and transparent services to its clients, the Company may record your conversation while interacting with you."

Yours faithfully,

Sign here : (13) 

Client Code : _____

Client Name : _____

Date : _____

LETTER OF AUTHORITY TO TRADE

To,

UNITED SHARE BROKERS LTD.

Plot No. 31 I, Ashoka Enclave Extension-III, Faridabad-121003 (Haryana)

Sub: Authority to trade on my/our behalf.

Dear Sir/Madam,

I hereby authorise Mr/Ms. _____ S/d of _____
having PAN _____, UID No. _____ & Mobile No. _____ who is my
husband/wife/son/daughter/brother/sister/parents/other (Please Specify) _____ to trade on my
behalf in my trading a/c No. _____ and to perform all or any of the following acts, deeds and things for and on
my/our behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.


1. To operate the Account on my/our behalf.
 2. To issue necessary instructions to you, for purchase, sale or transfer of shares and Securities from or to the Account as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities from or to the Account.
 3. To make or cause to make payments to UNITED SHARE BROKERS LTD. whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and USBL.
 4. To duly honour all my/our contractual obligations under various agreements executed between me/us and USBL. including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of USBL.
 5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statement and all correspondence on my behalf and report any discrepancy there in to USBL.
 6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from USBL at designated mobile no. & undertake to update this contact detail in writing with USBL. in the event of any such change, taking place at any time in future.
 7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
- A. I/we hereby agrees and undertakes that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
- B. I/we hereby agrees and undertakes to indemnify and keep USBL. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the USBL. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
- C. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
- D. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until USBL. received and acknowledged revocation letter at its registered office.

Client Name : _____

Client Code : _____

Name & Signature of the Authorised Signatory(ies)


Date : _____

Sign here : (14) 

CLIENT DEFAULTER DECLARATION

I, _____ having PAN no. _____ do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.

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

Sign here : (15) 

Client Name: _____

Client Code: _____

Date: _____

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.]

DECLARATION FOR NAME MISMATCH WITH POSSIBLE SIGNATURE SPECIMEN

I hereby declare that, my name mentioned

1. In PAN Card is _____

& Signature Specimen on PAN

Signature Specimen

2. In Additional ID Proof i.e. Voter ID/Passport/Driving License is _____

& Signature Specimen on ID Proof

Signature Specimen

3. In Bank Account No _____ it is _____

& Signature Specimen on Bank

Signature Specimen

4. In _____ is this _____


& Signature Specimen is

Signature Specimen

Further I Declare that the names with signature specimen mentioned in above details document pertains to me, therefore I request you to register my account and make all the pay outs in the same name as mentions in my bank proof.

Thanks

Name of the Client : _____

Sign here : (16) 

Date: _____

E-MAIL ID / MOBILE NUMBER DECLARATION

To,
UNITED SHARE BROKERS LTD.
 Plot No. 31 I, Ashoka Enclave Extension-III,
 Faridabad-121003 (Haryana)

Date : _____

Dear Sir,

I/We hereby request you to send all your communications pertaining to my/our trade like Trade Confirmations, Contract Notes, MTM Obligation, Margin Calls or any other communication (which is necessary from your Compliance point of view) including the verification call from Exchange/SEBI etc. on the below mentioned Mobile number/Email id.

Contact Mode	Mention E-mail / Mobile	Mobile / E-mail is registered in the Name (Please tick the correct box)			
		Self	Spouse	Dependent Child	Dependent Parent
E-mail		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mobile No.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>


I/we confirm that:

The said Mobile is registered in the name of _____ and the Email is/is also registered in the name of _____

I/We am/are also aware that the Exchanges have been pursuing a process of confirming the trade details directly to the Clients via SMS and Email alerts which they have carried out through their respective Trading Member. Accordingly, I/We accord my/our consent to receive those SMS as well as Emails alerts directly from the Exchanges on the above stated contact details for the purpose. I/We hereby authorize you for sharing the said contact details with Exchanges.

Yours faithfully,

SIGNATURE OF CLIENT

(17A) 

Name of the Client : _____

Trading Code : _____

DECLARATION FOR CLIENTS NOT HAVING EMAIL ID / MOBILE NUMBER

To,
UNITED SHARE BROKERS LTD.
 Plot No. 31 I, Ashoka Enclave Extension-III,
 Faridabad-121003 (Haryana)


Date : _____

Dear Sir,

I/We understand, Exchange, with the objective of reducing the number of investor complaints relating to unauthorized trading and to safeguard Members' own interest, provides details of the transactions to all investors through mails and SMSs whose email address and mobile numbers are updated by the trading members to the Exchanges. I/We also understand that as per provisions of SEBI/FMC/Exchanges, the trading member is required to update the mobile and e-mail IDs of their clients to the Exchanges.

However, pursuant to above mentioned compliance, I/we hereby confirm & declare that I/We do not have the mobile number/email id to be updated in your records for the purpose of receiving transactional alerts from trading member/SEBI/FMC/Exchanges. I/We further authorize you to inform /update the same to the SEBI/FMC/Exchanges.

SIGNATURE OF CLIENT

(17B) 

Name of the Client : _____

Trading Code : _____

DECLARATION BY KARTA & ALL THE CO-PARCENERS (for HUF only)

To
UNITED SHARE BROKERS LTD.
Plot No. 3 I I , Ashoka Enclave Extension-III,
Faridabad-121003 (Haryana)

Dated : _____

Dear Sir/Madam,

1. Whereas the Hindu Undivided Family of.....is carrying on business in the firm name and style of at or we intent to deal have or desire to have Securities Trading Account with For United Share Brokers Ltd. (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr./Mrs..... is the present Karta of the said joint family.
2. We confirm that affairs of HUF firm are carried on mainly by the Karta Mr/ Mrs. on behalf and in the interest and for the benefits of all the co-parceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.
He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parceners of the said joint family, including the share of the minor co parceners, if any.
3. We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations f the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
4. The names and dates of the birth of all the present minor & major co-parceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm.

List of Family Members

S. No.	Name of the Co-parceners (Including Minor also)	Relationship with Karta	PAN No.	Address (if other than Karta's address)	Date of Birth	Signature
1.						
2.						
3.						
4.						
5.						
6.						

Note : In case of adult family member provide copy of PAN card or any other ID proof (DL/Voter ID/ Passport). In case of Minor Family Member provide copy of age certificate (Birth Certificate/School Leaving Certificate).

Name of the HUF _____

Signature of Karta with Rubber Stamp

Date : _____ Place : _____

VERBAL ORDER ACCEPTANCE AUTHORISATION

UNITED SHARE BROKERS LTD.

Plot No. 311, Ashoka Enclave Extension-III, Faridabad-121003 (Haryana)

Dear Sir,

I/we am dealing with you as client at NSE in Cash & Derivative Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/ dealing on my/our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/ modification and cancellation in writing and to avoid disputes, I/We must give instruction in exactly the format given below in duplicate (carbon copy/ photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/ photocopy of the instructions in acknowledgment of receipt of my / our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/our authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line/mobile phone) and execute the same. I/ We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement/modification and cancellation of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking You

Yours Faithfully,

Name : _____

Sign Client : (18) 

FORMAT FOR WRITTEN ORDERS


UNITED SHARE BROKERS LTD.

Plot No. 311, Ashoka Enclave Extension-III, Faridabad-121003 (Haryana)

Please Execute the following order in my/our account

Sl. No.	Exchange	Segment (Equities / Derivative)	Scrip Name/Scrip Code/Contact Description	Order type (Regular/Stop Loss)	Buy/Sell	Quantity	Rate	Disclosed Quantity (If any)	Trigger Price (If SL Order)	Remarks

Client Name: _____ Order Instruction Date & Time _____

Client Code: _____ Sign here : 

ACKNOWLEDGMENT

Received the request for executing above mentioned written orders from Mr./Ms..... having trading client code possessing PAN No.

Place: | | | | | | | | | | | | | | | | | | | | | |

Date: | D | D | M | M | Y | Y | Y | Y |

Time _____ (A.M./P.M.) (Auth. Official 1) (Auth. Official 2)

For United Share Brokers Ltd.

Authorised Signatory / Director

AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER / (S)

(To be obtained on pre-printed Letterhead of firm)
(This Letter is to be obtained only if the client is a partnership firm)

To,
UNITED SHARE BROKERS LTD.
Plot No. 311, Ashoka Enclave Extension-III,
Faridabad-121003 (Haryana)

Sir,
We the partners of M/s. _____
a partnership firm having its office at _____
_____ hereby authorize
jointly or severally Mr./Ms. _____ and
Mr./Ms. _____

to open a securities trading account in Capital Market segment, F&O segment on behalf of the firm M/s./ Mr. /
Ms. _____ with the
Trading Member UNITED SHARE BROKERS LTD. for sale and purchase of shares/derivative instruments in capital
Market segment (CM) and or Future and Options segment (F&O). He/She/They is/are authorized on behalf of the firm for
the purpose of dealing/investing in securities market including future & option and the said Trading Member is hereby
authorized to honor all instructions oral or written, given on behalf of the firm by him/her/them.

List of Authorised Signatories with specimen signature.

SNo.	Name	Designation	Specimen Signature
1.	_____	_____	_____
2.	_____	_____	_____

is/are authorized to sell, purchase, transfer, endorse, and negotiate documents and/or/otherwise deal through UNITED
SHARE BROKERS LTD. on behalf of the firm M/s. _____

He/She/They is/are also authorised to sign, execute and submit such applications, undertakings, agreements and other
requisite documents as may be necessary for KYC application with KRA. Writings and deeds as may be deemed necessary
or expedient to open account and give effect to this purpose.

However any partner/authorized signatory (ies) can issue cheques from bank account(s) in favour of UNITED SHARE
BROKERS LTD. for credit to share trading account of the firm with UNITED SHARE BROKERS LTD., even though
his/their signatures may not be available on the records of UNITED SHARE BROKERS LTD. These cheques may either be
from the account of partnership firm or from individual account the said amount so given shall be solely/exclusively for the
account of the firm maintained with United Share Brokers Ltd..

We also recognize that a beneficiary account cannot be opened with a Depository Participant in the name of the
partnership firm as per Depository regulations. To facilitate the operation of the above trading account with you and for
the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to
recognize the beneficiary account No. _____ with Depositor having DP ID _____ opened
as a singly/jointly in the name of Managing partner/partners of the firm.

We agree that the obligations for shares purchased and /or sold by the firm will be handled and completed through
transfers to/from the above-mentioned account. We recognize and accept transfers made by you to the beneficiary
account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Thank You.

Yours Truly

Name : _____

Date : _____

Signature of partner with rubber stamp

Signature of partner with rubber stamp

Signature of partner with rubber stamp

Signature of partner with rubber stamp

**FOR TRADING ACCOUNT OPENING
FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES / TRUSTS / LLP**

(To be obtained on pre-printed Letterhead of company)
(This Letter is to be obtained only if the client is a body corporate)

Certified True Copy of the Resolution passed at the meeting of the Board of Directors of _____
_____ Ltd. and having its
registered office at _____ held on _____ day of
_____ 20____ at _____ AM/PM

Resolved that the Company/Trust/LLP be registered as CLIENT with United Share Brokers Ltd., Member of National Stock Exchange of India Ltd. (NSE) for the purpose of dealing/investing in securities market including equity future & option, and the said Member (UNITED) be and is hereby authorised to honor all instructions whether oral or written, given on behalf of the Company by any of the under noted authorised signatories:

S.No.	Name	Designation	Specimen Signature
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____

who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal through United Share Brokers Ltd. on behalf of the Company and to sign, execute & submit application & other requisite documents as may be necessary for KYC application with KRA.

RESOLVED FURTHER THAT Mr. _____
and / or Mr. _____ of the Trust/LLP/Directors
of the Company be and are hereby deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, whenever necessary, in the presence of all Directors or of any one director and Company Secretary, who shall sign the same in token of their presence

For _____ Ltd.

Chairman / Company Secretary / All Trustees / LLP

(The above signatures to be attested by the person signing the resolution for account opening on behalf of the Company/Trust/LLP).

BANK VERIFICATION LETTER

To,
UNITED SHARE BROKERS LTD.
Plot No. 311, Ashoka Enclave Extension-III,
Faridabad-121003 (Haryana)

Dated / /

Sub: Mapping of bank account in trading code of Proprietor

Dear Sir,

We are maintaining a bank account number with
bank. Request you to map this bank account in trading account of proprietor Mr./Ms.
for all fund pay-in and pay-out purposes. PAN number of proprietor is

Signature of proprietor is being attested by bank here/ separate bank verification letter attached

For

(Name and Sign of Authorised Signatory)

Trading code:-

For verification by Bank officials:-

Signature of Proprietor :-



Above Signatures are correct as per our records and
Ms./Mr. _____ is proprietor of
M/s. _____

**Signature and stamp by
Banler**



LETTER OF AUTHORISATION TO PLEDGE THE SECURITIES WITH CLEARING MEMBER/ CLEARING CORPORATION

I/We are dealing through you as a client registered in NSE in Capital Market/ Future & Options Segments. I have given you the securities as margin. I hereby confirm and declare that:

- (i) The Securities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise
- (ii) The Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of me/us.
- (iii) I authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- (iv) I/ we agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, my/ our obligations and that the rights or interests of me/ us with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities
- (v) You may invoke the pledge without any reference to or permission of me/ us and upon receipt of the Said Securities, Trading Member may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against me/us.
- (vi) I/we shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

FIT AND PROPER PERSON DECLARATION

As per Regulation 19(1) of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognised Stock Exchange or recognised Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.

Regulations 19 and Regulations 20 as prescribed by SEBI (herein referred as “Board”) are reproduced below:

A. Eligibility for acquiring or holding shares.

- (1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognised clearing corporation unless he is a fit and proper person.
- (2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognised stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.
- (3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub-regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five per cent of the paid up equity share capital of a recognized stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.
- (4) Any person holding more than two per cent. of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.
- (5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
- (6) Any person holding more than two per cent. of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

B. Fit and proper criteria.

- (1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if—
 - (a) such person has a general reputation and record of fairness and integrity, including but not limited to—
 - (i) financial integrity;
 - (ii) good reputation and character; and
 - (iii) honesty;
 - (b) such person has not incurred any of the following disqualifications—
 - (i) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;
 - (ii) an order for winding up has been passed against the person;
 - (iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
 - (iv) an order, restraining, prohibiting or debaring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
 - (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
 - (vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
 - (vii) the person is financially not sound.
- (2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

I/we hereby declare that, I/we am/are fit & Proper person as per the above rules & Regulations of the SEBI.

NRI DECLARATION

I hereby declare that I am a Non Resident Indian (NRI)/Person of Indian Origin (PIO).

I understand that the my account will be open on the basis of statement/declaration made by me and I agree to compensate you for any loss incurred by **United Share Brokers Ltd.** (herein after referred as **M/s USBL**) due to any incorrect statement(s)/declaration(s) made herein.

I hereby, indemnify and hold **M/s USBL** harmless from any or/and all claims and state that the M/s USBL shall not be liable for any loss, actual or perceived, caused directly or indirectly by equipment failure, communication line failure, system failure, internet failure, securities failure on internet, unauthorized access or any other problem, technical or otherwise.

I declare that I shall necessarily take delivery of the shares purchased and give delivery of the shares sold. I declare that I shall not indulge in intra-day purchase or sale of shares or vice versa. I also understand that NRIs are not permitted to indulge in short selling of shares.

I hereby declare that at any point of time I shall NOT remain invested in shares of listed Indian companies, both on repatriation and non-repatriation basis under PIS route over and above certain percentage which is prescribed by **RBI/SEBI** from time to time of the paid up capital / paid up value of each series of debentures of listed Indian companies. Further, I declare that I will never trade/deal in the shares which are specific banned by RBI/SEBI for trading for NRI.

I do hereby declare that shares purchased by me on the stock exchange under PIS shall not be transferred by way of sale under private arrangement or by way of gift to a person resident in India or outside India without prior approval of RBI.

I confirm that I have not been approached by M/s USBL or anybody on its behalf and I have not been /will not be approached for solicitation or any investment or advice for investment in any company in India. All investment decisions are /shall be my/our own, based on independent information, research and knowledge gathered from published materials and internet sites available anywhere in the world and other sources.

I understand that the Capital Gains Tax shall be calculated on a First in First out (FIFO) basis on account of sale of the respective shares. I declare that I shall pay capital gains tax on rates as notified by the Income Tax Department, Government of India, from time to time on any capital gains arising out of secondary market transactions and submit Chartered Accountant's Certificate to that effect to M/s USBL whenever called for. I also understand and hereby agree that in case of noncompliance to the extent tax laws in India, I shall be solely liable and responsible for any proceedings issued by the Income Tax Department in this regard and shall adequately compensate M/s USBL for any financial loss or loss of reputation, or any other loss on account of non-compliance of regulatory and reporting requirements due to false/misleading information given by me or suppression of any material fact, both intentional or unintentional on my part.

I also hereby agree that I shall solely be liable for any non-compliance of the SEBI / RBI guidelines or any other relevant directives / guidelines issued from time to time and that may be in force due to false/misleading information given by me or suppression of any material fact, both intentional or unintentional on my part and shall be solely liable for any action initiated by any of the regulatory authorities concerned.

I undertake to abide by the local Laws, Rules & Regulations in India and confirm that the country of my residence other than India does not prohibit On Line Trading or trading/investing or doing business through the electronic platform or through any other mode as may be permitted by the law of that country.

Irrevocably submit to and accept, generally and unconditionally, the venue of proceedings chosen by M/s USBL in connection to any legal action or suit arising out of this account and /or transactions arising there from and I irrevocably waive any objection which I may have now or in future to the laying of the venue of such proceedings and any claim that any such proceedings have been brought in an inconvenient forum.

Client Name: _____

Sign here :



FEMA DECLARATION FORMAT (For NRI's)


I S/o/D/o.....

Residing at

am following the rules and regulation of FEMA and will continue to do the same in future too.

Regards

Client Name: _____

Sign here : (19) 

FORM FOR 'AADHAAR LINKING

To,
UNITED SHARE BROKERS LTD.
Plot No. 31 I, Ashoka Enclave Extension-III,
Faridabad-121003 (Haryana)

Dated : _____

Dear Sir/Madam,

PAN		Aadhaar Number	
Trading/Dp Code		Name as per Aadhaar	
Self/Karta/Auth Signatory		Date Of Birth	
PAN of Karta/ Auth Signatory		Gender	

I/We know that Ministry of Finance (Dept. of Revenue) vide Notification G.S.R. 538 (E), dated 1st June, 2017, mandated linking of Aadhaar number with Trading / Demat / PMS / AMCS / MFS accounts. The purpose of collection/usage of Aadhaar number including demographic information is to comply with applicable laws / rules / regulations and provision of the said applicable laws / rules / regulations. After obtaining my Aadhaar number, you will authenticate the same in accordance with the Aadhaar Act, 2016 and shall receive Biometric/demographic information which you can only used to comply with said applicable laws/rules/regulations. .

In reference to the aforesaid compliance requirement, I hereby provide my / our consent to United Share Brokers Ltd. in accordance with Aadhaar Act, 2016 and regulations made there under, for (i) collecting, storing and usage (ii) validating / authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made there under) and PMLA.

I / We hereby provide my / our consent for sharing / disclosed of the Aadhaar number(s) including demographic information with United Share Broker Limited, SEBI, Exchanges, CKYC, KRA, Depositories and any other institutions / agencies as per requirement.

(Name and Signature of Aadhaar Holder)

(Stamp & Sign of Auth Signatory of Non-Individuals)

Instructions:

1. Separate Aadhaar Linking form is required for each authorized person in case of non individual clients.
2. Aadhaar of Karta required in case of HUF, and Aadhaar of all authorized signatories in case of Partnership firm/Body Corporate/Trust/LLP and other non-individual
3. Submission of this form does not warranty automatic linking of Aadhaar Number with your trading and demat accounts. It is subject to authentication with UIDAI database & other required validations. Please ensure your mobile number (in use) is updated in your Aadhaar database.
4. Submit this consent letter and copy of Aadhaar to your RM or branch or you can email the scan copies from your registered email id to usbl.client@gmail.com

TERMS & CONDITIONS

1. Client agrees to set off outstanding in any of his/her/its accounts against credits available or arising in any other accounts maintained with Broker irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other Exchange and/or against the value of cash margin or collateral shares provided to Broker.
2. Client authorises the Broker not to provide Order Confirmation/Modification/Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. Client shall get the required details from contract notes issued by Broker.
3. Client authorises Broker to keep all securities which Client has given in margin including the payout securities received by Broker for meeting margin/order obligation in any of the Stock Exchanges/Clearing House/Clearing Corporation in whatever manner which may include pledging of shares in favor of bank and/or taking loan against the same or meeting margin/pay-in obligation on client's behalf or for giving the same as margin to any of the stock exchanges/ clearing house/clearing corporation or otherwise. Further, Client shall when called upon to do so forthwith from time to time provide a Margin Deposit and/or furnish additional Margin as required under the Rules and Regulations in respect of the business done by the Client and/or as agreed upon by Client with the Trading Member.
4. Client authorises broker to retain credit balance in any of his/her/its account and to use the unused funds towards his/her/its margin/future obligation at any or both the Exchanges unless the client instruct otherwise. Client also authorize broker to debit the necessary demat charges from time to time, for keeping the shares in Broker client demat beneficiary account on Client's behalf. Client also agrees to debit the charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in client's account and not settled as per the exchange requirements.
5. Client agrees and permit the stock broker to retain Securities in their demat account for his/her/its margin/future obligations at all Exchanges, unless the client instructs the stock broker to transfer the same to his/her/its account.
6. Client agrees and permits the stock broker to consider his/her/its telephonic instructions for order placing/order modification/order cancellation as a written instruction and permit to provide all the confirmation on telephonic unless instructed otherwise in writing.
7. Client authorises the stock broker/exchange/other regulatory authority to send/dispatch contract notes/e-mail alert/other documents through e-mail on his/her/its designated e-mail address mentioned in KYC. Client shall completely rely on the log reports of dispatching software as a conclusive proof of dispatch of e-mail to the client and shall not dispute on the same. Non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at e-mail ID of the client.
8. Client shall inform the stock broker change of his/her/its email ID.
10. The client shall not sublet the trading terminal on any term of connectivity from his/her/its place to any other place without prior approval of stock broker.
11. The client agrees and permits the stock broker for inter-settlement transfer of securities towards settlement.
12. The client agrees and authorises the stock broker to with hold funds pay-out towards all the applicable margins and debits.
13. Client understands and permits to recover all fines/penalties and charges levied upon trading member due to client's acts / deeds or transaction
14. Client permits and authorises to debit the charges relevant with depository services from client's trading account. The client also agrees to maintain the adequate balance in his/her/its trading account/ pay adequate advance fee for the said reason.
15. Client permits and authorises the stock broker to discontinue sending contract note/other documents/details/information on client's email ID if contract notes get bounced for more than 5 times and to start sending physical documents. The client also permits and authorises to charge administrative/other charges for the same.
16. The Stock Broker may from time to time amend these terms and conditions if required, for complying with any change in Statute, Regulation or with the requirements of any competent authority without the consent of the Client. The Stock Broker may from time to time amend the terms and conditions with the intimate of the Client. The amended terms and conditions shall be intimated in advance to the Client by the Stock Broker atleast 7 days or such other period as may be prescribed by SEBI. In case the Client continues to deal with the Stock Broker subsequent to the intimations of such amendments, the Client agrees and acknowledges that it shall be deemed that the Client is agreeable to the new clauses. However, if the Client is not agreeable to such new terms and conditions, the Client has the right to terminate the relationship with the Stock Brokers as per rights & obligation prescribed by SEBI through communication in writing subject to the meeting of the financial and other obligations under these terms and conditions or any other agreement / arrangement.
17. In case any one or more of the provisions contained in the terms and conditions becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto
18. The Client confirms having read and understood these terms and conditions and those relating to various services and products and accepts and agrees to be bound by all the terms and conditions including those excluding /limiting the Stock Broker's and Exchange's liabilities
19. Trading in the Exchange is in Electronic Mode, based on VAST, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. Client understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. Client shall be fully liable and responsible for any such problem/fault.

INTERNET TRADING - TERMS AND CONDITIONS

The Stock Broker offers and/or proposes to offer the Internet Trading Service to its Clients; and the Client desires to avail of the Stock Broker's internet trading service for purchasing, selling or otherwise dealing in securities subject to the terms and conditions set out herein the client shall be deemed to have read, understood and agreed to the following terms and conditions in the event the Client avails the Internet Trading service provided by the Stock Broker:

I. DEFINITIONS:

1. In these terms and conditions (including the recitals above), unless the context otherwise requires the following words shall have the following meanings:
 - (I) "Exchange Provisions" means the Rules, Byelaws, Regulations, Business Requirements, specification, handbooks, notices, circulars and resolutions of the exchange or any segments of the
 - (II) Exchange in force from time to time. "Internet Trading" means Internet based Trading through Order Routing system, being a system approved by the Exchange for enabling clients to route their order to Stock Broker over the internet.
 - (III) "Internet Trading Account Application" means the Client Registration form along with the other supporting documents submitted by the Clients to the Stock Broker to permit the Client to avail of the Stock Broker's Internet Trading Service.
 - (IV) "Internet Trading Service" or "Service" means the service offered by the Stock Broker to its clients through Internet Trading where under the clients can route their orders for purchase, sale and other dealings in Securities through the Stock Broker's Internet Trading System.
 - (V) "Password" means an alphanumeric code used by the Client to validate his/her username and access the Service.
 - (VI) "Stock Broker's on the Internet Trading Website" means the web site hosted by the Stock Broker on the internet through which the Stock Broker offers the Internet Trading Service and includes the hardware and software used for hosting and supporting the Website or any other system through which Stock Broker offers the Internet Trading Service.
 - (VII) "Username" means an alphanumeric login identification used by the Client for accessing the Service.

2. INTERNET TRADING SERVICE:

The Stock Broker provides the internet Trading Service to the Client subject to these terms and conditions and the provisions of the rights & obligations of stock broker, the exchange provisions, SEBI guidelines and the terms of the Website through which Internet Trading Service is provided. The Stock Broker shall be entitled to / alter these terms and conditions and the same shall be deemed to be a notice to the Client. The use of Internet Trading acceptance by the Client of said terms and conditions including any modifications / alteration thereto.

3. USER NAME AND PASSWORD

- 3.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker 's Internet Trading Website for availing of the Internet Trading Service.
- 3.2 The Client is aware that the Stock Broker 's Internet Trading Website itself generates the initial password encrypts and passes on the password to the client. The Client agrees and undertakes to immediately change his initial password upon receipt thereof and subsequently to change his password with the period stipulated by the Stock Broker. The Client is aware that subsequent passwords are not known or available to the Stock Broker
- 3.3 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 Internet Trading Website using the Client's Username and/or password whether or not such person was authorized to do so.
- 3.4 The Client shall immediately inform the Stock Broker of any unauthorized use of the Client's Username or Password with full details or such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorized used, the transactions effected pursuant to such unauthorized use etc.
- 3.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorized use of his username and/or password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's Internet Trading Website and unauthorized routing orders on behalf of the Client through the System. The Client shall be fully liable and responsible for any and all unauthorized use and misuse of his password and/or username and also for any and all acts done by any person through Stock Broker's Internet Trading Website on the Client's username in any manner whatsoever. The Client undertakes to ensure that the password of the Client and/or his authorized representative are not revealed to any third party including employee/representative of the member.
- 3.6 The Client shall log off from the Stock Broker Internet Trading Website at any time the Client is not accessing or using the Internet Trading service and any liability incurred to the Client as a consequence of the Client not logging off the service shall borne solely by the Client.
- 3.7 Without prejudice to the provisions of Clause 3.5, the Client shall immediately notify the Stock Broker in writing with full details if:
 - (i) He discovers or suspects unauthorized access through his User name, Password or account.
 - (ii) He notices discrepancies that might be attributable to unauthorised access.
 - (iii) He forgets his password or
 - (iv) He discovers a security flaw in the Stock Broker's Internet Trading Website.

In any of the above events specified in clause 3.7, the Client shall immediately change his password. However, if the Client is unable to change his password by reason of his having forgotten his password or his password having been unauthorized changed by some other person or for any other reason then the Client shall immediately request the Stock Broker in writing to discontinue his password; and there upon the Stock Broker shall block the login to discontinue the use of the Client's password and Stock Broker's Internet Trading Website shall generate a new password for the Client which shall be communicated to the Client. At no point in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the password.

TECHNICAL & FUNDAMENTAL RESEARCH REPORTS ON DERIVATIVES (TFR)

Caution: Trading in the capital/derivatives segments using Technical Charts or Short Term Indicators involves high risk and requires skill, experience and knowledge

of the capital/derivatives segments.

Certain transactions including those involving Futures, options & other derivatives as well as other non-investment grade securities contain substantial risk and are not suitable for all investors. STOP LOSS ORDERS help limit loss but even placing contingent orders, such as "stop-loss "or "stop-limit" orders will not necessarily limit your losses to the intended amounts, and it is important that only a small portion of your corpus is allocated to such trading. Leverage can lead to large losses as well as gains. You may sustain a total loss of the initial margin funds and any additional funds that you deposit with us to establish or maintain a position, and you may incur losses beyond your initial investment.

ANTI MONEY LAUNDERING AWARENESS - EDUCATING CLIENTS ABOUT AML PROVISIONS

This is must read/ understood and to be complied by every one dealing/ desirous in dealing in Capital and / or Derivatives (including Currency Derivative)

1. Prevention of Money Laundering Act, 2002 (PMLA) is enacted to prevent the financing of terrorism and to prevent laundering of money i.e. to prevent legalizing or officializing or canalizing the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes etc.
2. PMLA is a part of the Global measures being taken by all the countries under the initiatives of United Nations.
3. It is an obligation of individual/entities to whom PMLA is applicable, to report certain kind of transactions routed through them to Financial Intelligence Unit (FIU), a department specially set up to administer PMLA under the Ministry of Finance.
4. PMLA is, inter-alia, applicable to various intermediaries which includes stock brokers, commodity brokers, sub-brokers, authorised person and depository participant etc.
5. As per PMLA the following type of transaction are to be reported to FIU: -
 - (A) All cash transactions of the value of more than Rs. 10 Lacs or its equivalent in foreign currency.
 - (B) All series of cash transactions integrally connected to each other which have been valued below Rs. 10 Lacs or its equivalent in foreign currency where such series of transactions takes place within one calendar month.
 - (C) All suspicious transactions whether or not made in cash and including, inter-alia, credits or debits into any non monetary accounts such as demat account.
6. Any such above transaction(s), though not executed but attempted and failed are also required to be reported
7. The suspicious transaction(s) can be related to the transaction(s) under the circumstances such as: -
 - (A) Client(s) whose identity verification seems difficult or client(s) that appear not to co-operate;
 - (B) Asset management services for client(s) where the source of the funds is not clear or not in keeping with client(s) apparent standing /business activity;
 - (C) Client(s) based in high risk jurisdictions;
 - (D) Substantial increases in business without apparent cause;
 - (E) Client(s) transferring large sum of money to or from overseas locations with instructions for payment in cash;
 - (F) Attempted transfer of investment proceeds to apparently unrelated third parties;
 - (G) Businesses undertaken by offshore banks/financial services;
 - (H) Businesses reported to be in the nature of export/import of small items;
 - (I) Unusual transactions by Clients of Special Categories (CSCs).
8. Clients of Special Categories includes: -
 - (A) Non-resident client;
 - (B) High net-worth client (having annual income + networth of more than Rs. 1 Crore);
 - (C) Trust, Charities NGOs and organizations receiving donations;
 - (D) Company having close family shareholdings or beneficial ownership;
 - (E) Civil Servant or family member or close relative of civil servant;
 - (F) Bureaucrat or family member or close relative of bureaucrat;

- (G) Current or Former MP or MLA or MLC or their family member or close relative;
 - (H) Politician or their family member or close relative;
 - (I) Current or Former Head of State or of Governments or their family member or close relative;
 - (J) Senior government/judicial/military officers or their family member or close relative;
 - (K) Senior executives of state-owned corporations or their family member or close relative;
 - (L) Companies offering foreign exchange offerings;
9. While opening the new account all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under PMLA.
 10. All the record of transaction(s) and client identifications must be preserved in a manner which can be retrieved promptly and reported to the authorities in the specified format as and when required.
 11. The Clients are advised to be fully conversant with the provisions of PMLA and any amendments thereto from time to time and to co-operate with intermediaries by providing the additional information(s)/document(s), if asked for, to ensure the compliance requirements under PMLA.
 12. The Client are advised to provide certain information which may be of personal nature or has hitherto never been called for such information can include documents evidencing source of funds/income taxreturns/bank records etc. You are advised to co-operate with us whenever such information is sought for from PMLA perspective.

13. The Clients are advised to be vigilant and to refrain from temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering freedom and causing damage to the nation. The Clients are supposed to provide their active co-operation in the due compliance of the law.
14. Please visit the website of Financial Intelligence Unit (www.fiuindia.gov.in) and Securities and Exchange Board of India (www.sebi.gov.in) for any further information on the subject.

Pro Disclosure

In pursuance of SEBI Circular No. SEBI/MRD/SE/ Cir-42/2003 dated November 19, 2003, with a view to increase the transparency in the dealings between the trading member and their Clients, all trading members are required to disclose to his clients whether they do Client based business or proprietary.

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

Email Mobile Declaration

Client agrees to receive communications pertaining to trading and demat account like Trade Confirmations, Contract Notes, MTM Obligation, Margin Calls, transactions and holding statement or any other communication including the call from United Share Brokers Ltd. etc to his/her/its mobile number/Email registered with United Share Brokers Ltd. . Client is also aware that the Commodity Exchanges and Depository have been pursuing a process of confirming the transaction details directly to the Clients via SMS and Email alerts which they have carried out through their respective Stock Broker. Accordingly, Client accord his/her/it's consent to receive those SMS as well as Emails alerts directly from the Exchanges/Depositories. Client hereby agrees and authorizes United Share Brokers Ltd. to share the contact details with Exchanges/Depositories/KRAs and/or other regulatory Authority.

INSTRUCTION CUM TICK LIST

G. 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 Company need to be provided by the client from time to time.

H. Demat Proof: Demat master or recent holding statement issued by DP bearing name of the client.

I. In-person Verification:

For Individuals:

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

For Non Individuals: Form need to be initialed by all the authorized Signatories.

J. General Instructions

1. All documents submitted as proof must be self attested by the client.
2. Thumb impression must be attested by a magistrate or a notary public or a special executive magistrate under his/her official seal.
3. Photocopies of photograph will not be accepted. Photograph submitted should be passport size, front facing and with a plain background. Client sign should be across in such a manner where part of the signature is on the photo and other part of the form.
4. Short signature//initial is not allowed on the KYC
5. Photo copy of all document inclusive of PAN, address proof and identity proof must be clearly visible so that every written text and photo can be matched with KYC
6. Signature should match with PAN/ Copy of cancelled cheque leaf/Bank verification letter
7. If correspondence and permanent address is different then both the address proofs are required
8. MICR & IFSC Code, Annual Income & Net worth are mandatory
9. Every cutting, overwriting & fluid will be accepted only if duly attested and stamped by client
10. If any proof of entity is in other than Hindi or English then translation in Hindi or English is require with notaries stamp
11. If the address proof is utility bills or bank statement, if should be not more than 3 months old.
12. All communications shall be sent at the correspondence address/ mobile number/ e-mail id of the client. Please fill the email and mobile number on the kyc carefully and accurately.
13. PAN of HUF and Karta both to be obtained; Address and Bank proof to be in name of HUF; Declaration to be signed by Karta and all coparceners and also provide the pan card copy of at least two coparceners.
14. Only Balance sheet and net worth is considered as financial proof for non individuals.
15. NRI cannot deal in Currency Derivative Segment
16. Trading A/c cannot be opened in joint names.
17. KYC will be signed by the client only and power of attorney holders are not allowed to sign the KYC
18. If email Id & mobile no is same in more than one code then family declaration required.

K. Proof for Bank Account

1. Bank account statement/Passbook copy should not be more than 3 months old
2. Bank Statement should clearly mention the name and address of the client.
3. The bank statement should duly attested (Sign & Stamp) by the authorized official of the bank mentioning the bank and designation of the bank authorized official.
4. Bank Verification letter should be in prescribed format on the letter head of the Bank duly signed and authorised by the Bank official mentioning his/her Name, Designation, Signature & Employee Code.
5. Cancelled Cheque should have name of the account holder and account number printed on the same.

L. Corporate

1. Form 18 and Form 32 valid with challan copy.
2. Form 18 used for address proof of the company.
3. Form 32 used for change in director's detail of the company.
4. All incorporation certificates should be self attested and all incorporation certificates must be attached with the Memorandum.
5. Detail of Director should match with memorandum and if there is any change then then Form 32 with the challan copy is required
6. The following mandatory points must be incorporated in board resolutions.
 - Date of Resolution
 - Resolution date not latter to KYC date
 - Name of Broker as United Share Brokers Ltd..
 - Segment like Equity, Currency, Future, Option, Cash Etc.
 - Name of the exchanges in which client wants to trade
 - Authorized person name in BR.
7. Authorized person can perform signature on BR until he/she is/are only the director in the company.
8. If Letter of authority to trade given on behalf of any other person than authorized in BR then company must provide the separate BR, Person ID and address proof.
9. Share holding Pattern - Less than 2% share holders may provide under Other Category but 100 % share holding pattern require.
10. Share holding total must be equal to share capital
11. In case of name change incorporation certificate and PAN card of new name required

12. Date of Incorporation on KYC Form should match with date of incorporation from memorandum and PAN card date
13. Net-worth amount and date of net-worth is mandatory
14. In company share holding any other company is a share holder with equal to or more than 25% holding then we require that company share holding also if this will again happen in holding company then again we require share holding and it will continue.
15. All the incorporation certificate should be attached with the memorandum if any updation incorporation certificate attached with the memorandum instead of first incorporation certificate then we require first incorporation certificate also.
16. If company fills two addresses then both address proof are required
17. At least two director detail is must
 - **In Case of Name change in the company**
 - New PAN
 - In corporation certificate
 - KRA
 - **In case of change in the director**
 - KRA
 - List of Director
 - Form 32 with challan copy
 - PAN, Address of Director
 - **In case of change in the Authorized Signatory(ies)**
 - KRA
 - List of Director

- Form 32 with challan copy
- PAN, Address of Auth. Signatory(ies)
- Board Resolution
- List of Authorise signatory(ies) with specimen signatory(ies)

- **In case of change in the Share holding Pattern**

- KRA
- List of Director
- Form 32 with challan copy
- PAN, Address of Auth. Signatory(ies)
- Board Resolution
- List of Authorise signatory(ies) with specimen signatory(ies)
- Share Holding Pattern required (Follow the cross holding)

M. Partnership Firm

All formalities and checking criteria are same as like corporate, few difference are as follows

1. Authority Letter instead of Board Resolution
2. Partnership Deed instead of Memorandum
3. All Partner signature is mandatory in authority letter
4. In LLP registration certificate is must

N. Limited Liability Partnership (LLP):

1. Copy of the balance sheets for the last 2 financial years (to be submitted every year).
2. Certificate of registration.
3. Copy of partnership deed.
4. Authorised signatories list with specimen signatures and photograph.
5. Photograph, POI, POA, PAN of Partners.
6. Resolution/ Authority Letter for investment in securities market

A. DOCUMENT TICK LIST FOR INDIVIDUAL**1. KRA(I)** **2. PAN Card** **3. Address Proof**Passport Voter ID Card UID Ration Card Bank Statement or Passbook** Driving License Electricity Bill** Telephone Bill (only land line bill of MTNL & BSNL)** Registered lease or Sale Agreement Any Other (Please Specify)

* Rent Agreement not accepted for address proof as per SEBI guidelines

** Telephone Bill/ Electricity Bill/Gas Bill/Bank Statement copy or passbook copy is not older than three month

4. Bank ProofName Printed Cancelled Cheque Leaf Copy of pass book Bank Statement Specifying name of Constituent **5. DP Proof**Current Demat Master Recent Holding Statement **B. DOCUMENT TICK LIST FOR CORPORATE****1. KRA Annexure (N)** **2. Address Proof of Company****Bank Statement or Passbook*** Telephone Bill (only land line bill of MTNL & BSNL)** Electricity Bill*** Form 18

** Rent Agreement not accepted for address proof as per SEBI guidelines

*** Telephone Bill/ Electricity Bill/Gas Bill/Bank Statement copy or passbook copy is not older than three month

3. Bank ProofBank Statement Specifying name of Constituent Copy of pass book Name Printed Cancelled Cheque Leaf **4. DP Proof**Current Demat Master Recent Holding Statement **5. Other Mandatory Document**Pan card of Company List of Director's & Permotors ** Board Resolution ** Balance Sheets of Last Two Years Share Holding Pattern *** Networth Certificate Certified MOA ITR of last two year Certified AOA List of Authorised Signatory

** These documents must be on letter head of company and should be duly signed and stamped

6. Directors* Details**PAN Passport size Photograph UID DIN Form 32 Address proof (Please Specify) Bank proof (Please Specify)**7. Promoters*** Details**PAN Passport size Photograph UID DIN Form 32 Address proof (Please Specify) Bank proof (Please Specify)**C. DOCUMENT TICK LIST HUF****1. KRA of HUF (N)** **2. PAN Card of HUF** **3. Address Proof of HUF****Bank Statement or Passbook*** Telephone Bill (only land line bill of MTNL & BSNL)** Electricity Bill*** Any Other (Please Specify)

** Rent Agreement not accepted for address proof as per SEBI guidelines

*** Telephone Bill/ Electricity Bill/Gas Bill/Bank Statement copy or passbook copy is not older than three month

4. Bank Proof of HUFName Printed Cancelled Cheque Leaf Bank Statement Specifying name of Constituent Copy of pass book **5. DP Proof**Current Demat Master Recent Holding Statement **6. Other Mandatory Document**HUF Declaration List of Coparseners **7. Karta (I) Details:**KRA of Karta Pan Passport size Photograph UID Address proof (Please Specify) Bank proof (Please Specify)

D. DOCUMENT TICK LIST FOR PARTNERSHIP

1. KRA Annexure (N)

2. Address Proof of Partnership Firm**

Telephone Bill (only land line bill of MTNL & BSNL)** Electricity Bill*** Bank Statement or Passbook***
AnyOther

** Rent Agreement not accepted for address proof as per SEBI guidelines

*** Telephone Bill/ Electricity Bill/Gas Bill/Bank Statement copy or passbook copy is not older than three month

3. Bank Proof of Partnership Firm

Name Printed Cancelled Cheque Leaf Copy of pass book Bank Statement Specifying name of Constituent

4. DP Proof

Current Demat Master Recent Holding Statement

5. Other Mandatory Document

Pan card of Partnership Firm Authority Letter ** List of Partner's with Sharing ratio** List of Authorized Signatory Networth Certificate
ITR of last two year Partnership Deed Balance Sheets of Last Two Years Certification of Registration

** These documents must be on letter head of company and should be duly signed and stamped

6. Partners Details

Pan Passport size Photograph UID
Address proof Bank proof

E. DOCUMENT TICK LIST FOR NRI

1. KRA(I) 2. PAN Card

3. Address Proof (Indian)*

Bank Statement or Passbook** Other proof

* Rent Agreement not accepted for address proof as per SEBI guidelines

** Telephone Bill/ Electricity Bill/Gas Bill/Bank Statement copy or passbook copy is not older than three month

4. Address Proof (Overseas)*

Bank Statement or Passbook** Passport Other proof

5. Bank Proof (NRE/NRO)

Name Printed Cancelled Cheque Leaf Bank Statement Specifying name of Constituent

6. DP Proof

Current Demat Master Recent Holding Statement

7. Other Mandatory Document

PIS Permission Letter from the respective designated bank Copy of VISA FEMA Declaration NRI Declaration

- If client has obtained the NRO PIS permission from the designated bank to trade in cash market then, NRO status demat will be accepted only. In case of NRE PIS permission from designated bank branch, NRE status demat account would be accepted only.
- If client wants to trade in Cash/F&O segment then NRO bank account is only acceptable as bank proof.
- If client wants to trade in F&O segment, then CP agreement on Rs. 300/- stamp paper is required.

Exchange-wise Investor Grievance cell:

! NSE-complaint may be filed through website www.nseindia.com or sending hard copy to nearest NSE office or at 022-26598100, ignse@nse.co.in.

UNITED SHARE BROKERS LTD.

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