

stock market

INDIVIDUAL/HUF/PARTNERSHIP FIRM/CORPORATE

Account Opening Kit

Capital/F&O/Currency/DP
Broking/Depository
Equity, Derivative, Currency, Depository

Client Name : _____

DP Client ID : _____

Client Code (UCC) : _____

PEE AAR SECURITIES LIMITED

CIN No.:U74899HR1995PLC056269

pee aar™

The Financial People

SINCE 1995



SEGMENT	REGISTRATION NO.	TM CODE
NSE CASH	INZ000176938	14463
NSE F & O	INZ000176938	14463
NSE CURRENCY	INZ000176938	14463
BSE CASH	INZ000176938	6483
BSE F & O	INZ000176938	6483
BSE CURRENCY	INZ000176938	6483
NSDL DP ID	IN-301428	

DOCUMENTS TO BE PROVIDED FOR INDIVIDUALS

A. Proof of Identity (POI)

S. No.	Please tick (✓)	Document [All Self Attested]
1.	<input type="checkbox"/>	PAN card Copy

B. Proof of Address (POA)

S. No.	Please tick (✓)	Document
1.	<input type="checkbox"/>	Passport
2.	<input type="checkbox"/>	Voters Identity Card
3.	<input type="checkbox"/>	Ration Card
4.	<input type="checkbox"/>	Registered Lease or Sale Agreement of Residence
5.	<input type="checkbox"/>	Driving License
6.	<input type="checkbox"/>	Flat Maintenance bill
7.	<input type="checkbox"/>	Insurance Copy.
8.	<input type="checkbox"/>	Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
9.	<input type="checkbox"/>	Bank Account Statement/ Passbook - Not more than 3 months old.
10.	<input type="checkbox"/>	Proof of address issued by Bank Managers/Gazetted Officer/Notary Public
11.	<input type="checkbox"/>	For FII/sub account, Power of Attorney given by FII/sub account to the Custodians (which are duly notarized and/or opostiled or consularised) that gives the registered address should be taken
12.	<input type="checkbox"/>	The proof of address in the name of the spouse may be accepted.

C. Proof of Bank Account

S. No.	Please tick (✓)	Document
1.	<input type="checkbox"/>	Cancelled cheque/cheque issued in name of Pee Aar Securities Ltd. bearing name of the client
2.	<input type="checkbox"/>	Photo Copy of bank pass Book
3.	<input type="checkbox"/>	Original Bank statement
4.	<input type="checkbox"/>	Photo Copy of Bank Statement (Stamp & Signature from Bank) not more than 3 month old

DOCUMENTS REQUIRED - CHECKLIST

FOR INDIVIDUAL

DOCUMENTS OF INDIVIDUAL

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
 (Provide any one proof of each, as per table)
- Photograph pasted on page signed across

DOCUMENTS OF NOMINEE (required, if nomination facility is chosen)

- Photograph pasted on page

FOR HUF

DOCUMENTS OF HUF

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
 (Provide any one proof of each, as per table)

DOCUMENTS OF KARTA (Individual member in whose name HUF is formed)

- Photograph pasted
 Pol PoA (Provide any one proof of each, as per table)

SIGNATURES OF ALL COPARCENERS (family members other than Karta)

- Signatures on page Deed of declaration of HUF (any one)
 Signatures of all major coparceners on Power of Attorney

FOR CORPORATE

DOCUMENTS OF CORPORATE

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
 (Provide any one proof of each, as per table)
- Board Resolution for investment in securities market with name of authorised signatory(ies) and mode of operations (jointly or severally)
- ☞ On Letter head of Company and should be certified by two directors
- Articles & Memorandum of Association (Along with Certificate of Incorporation)
- Latest shareholding 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 / WTD / MD (to be submitted every year)
 - ☞ In case corporate shareholder holding more than 25% shares, shareholding pattern of that corporate is also required
- Balance Sheets for last 2 financial years (to be submitted every year)

DOCUMENTS OF ALL WHOLE TIME DIRECTORS (WTD) / TWO DIRECTORS IN CHARGE OF DAY TO DAY OPERATION

- Photograph pasted on page
 Pol PoA (Provide any one proof of each, as per table)

DOCUMENTS / SIGN OF ALL AUTHORISED SIGNATORY(IES)

- Photographs / on letterhead of company
 Signatures / on letterhead of company

DOCUMENTS OF ALL INDIVIDUAL PROMOTERS HOLDING CONTROL EITHER DIRECTLY OR INDIRECTLY

- Photograph pasted
 Pol PoA (Provide any one proof of each, as per table)

FOR PARTNERSHIP FIRM

DOCUMENTS OF PARTNERSHIP FIRM

- Pol PoA Bank & MICR/IFSC Proof Income Proof Proof of Demat A/c
 (Provide any one proof of each, as per table)
- Certificate of Registration (in case of registered Partnership Firms Only)
- Partnership Deed
- Authority letter
- Balance Sheet for last 2 financial years (to be submitted every year)

DOCUMENTS OF ALL PARTNERS

- KYC of all partners (Download from www.smctradeonline.com/download.aspx)
- ☞ Demat A/c will be opened in the name of partners
- Photograph pasted
- Pol PoA (Provide any one proof of each, as per table)

DOCUMENTS & SIGN OF ALL AUTHORISED SIGNATORY(IES)

- Photographs on page A11

SOLE PROPRIETOR

- Sole Proprietor must make the application in his INDIVIDUAL name & capacity only
- ☞ If you are submitting bank details of Proprietorship firm as bank / income proof, please provide letter from bank certifying name of individual proprietor

Please ensure

1. Proof of Identity (Pol)	<ul style="list-style-type: none"> ● If Name/Photo/Signature on PAN Card is not clear, then submit additional Pol ● Copy of PAN Card is mandatory for all applicants (except for applicants residing in state of Sikkim)
2. Proof of Address (PoA)	<ul style="list-style-type: none"> ● If correspondence & permanent addresses are different, then proofs for both should be submitted ● Address in proof should match with address in KYC form ● In case of Individual - PoA in name of spouse may be accepted. In such case proof to establish relationship such as ration card, Passport, Marriage Certificate should be provided ● Office/Business/Shop Address if not acceptable as permanent address in case of individual
3. Bank + MICR/IFS Code Proof	<ul style="list-style-type: none"> ● Proof should contain IFS Code (11 digits) / MICR Code (9 digits) of Bank ● If name is not pre-printed on cheque - then submit additional proof containing the Bank A/c number and Name of Client
4. Income Proof	<ul style="list-style-type: none"> ● Mandatory if you wish to trade in Derivatives (F&O/Currency) segments
5. Demat A/c Proof	<ul style="list-style-type: none"> ● Not required if you are opening new Demat a/c

* Documents should not be more than 3 months old

** Documents having expiry date should be valid on the date of submission

ACCOUNT OPENING KIT

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Signature of Client



Pee AarTM**The Financial People**
SINCE 1995

PEE AAR SECURITIES LIMITED

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NSE Currency	INZ000176938	14463
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BSE F & O	INZ000176938	6483
BSE Currency	INZ000176938	6483
DPID	IN-301428	

Corporate Office Address :

AG-20, Shalimar Bagh, Delhi-110088 [New Address : AG-5, Shalimar Bagh, Delhi-110088]

Ph.: +91-11-42258000-07, 40072251-56 Fax : +91-11-42680480

E-mail : vpg@peeaaarmail.com Website: www.peeaar.in

Registered Office Address :

H.No. - 1576, Sector-46, Gurgaon, Haryana

Ph.: +91-11-40072251-56 Fax : +91-11-42680480

E-mail Id : investor@peeaaarmail.com Website: www.peeaar.in

For Complaint / Suggestion

Compliance Officer's Details

Name : Mukesh Pal Verma Phone No. : +91-11-40072251-56

E-mail : mpv@peeaaarmail.com

CEO Details

Name : Mr. Ashok Kumar Gupta

Ph. : +91 -11-40072251 E-mail : akg@peeaaarmail.com


For any grievance/dispute please contact Pee Aar Securities Ltd. at the above address or email to investor @peeaaarmail.com and Phone No. +91-11-40072251. If not satisfied with the response, please contact the concerned exchange(s) at :

Exchange Name		E-mail ID	Phone No.
National Stock Exchange of India Ltd.	NSE	ignse@nse.co.in	18002660058
Bombay Stock Exchange Ltd.	BSE	is@bseindia.com	022-22728517
National Securities Depository Ltd.	NSDL	relations@nsdl.co.in	1800222990

DECLARATION FOR PROPRIETARY TRADING

We Pee Aar Securities Limited, hereby inform all our clients that besides trading on behalf of our clients, we also do proprietary trading in our own account.

FORM 9
PART II – ACCOUNT OPENING FORM
(FOR INDIVIDUALS)

 The Financial People SINCE 1995	AG-20, Shalimar Bagh, Delhi-88 New Address : AG-5, Shalimar Bagh, Delhi-110088	Client –ID (To be filled by Participant)							
I/We request you to open a depository account in my/our name as per the following details: (Please fill all the details in CAPITAL LETTERS only)		Date D D M M Y Y Y Y							
A)	Details of Account holder(s):								
	Account holder(s)	Sole/ First Holder	Second Holder	Third Holder					
	Name								
	PAN								
	Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist		
		<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired		
		<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife		
		<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student		
		<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify; _____)		
	Brief details:								
B)	For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:								
	a) Name	b) PAN							
C)	Type of account								
	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable						
	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter						
	<input type="checkbox"/> Margin	<input type="checkbox"/> Others (Please specify) _____							
D)	Gross Annual Income Details								
	Income Range per annum (please tick any one)								
	<input type="checkbox"/> Below ₹ 1 lac	<input type="checkbox"/> ₹ 1- 5 lac	<input type="checkbox"/> ₹ 5- 10 lac						
	<input type="checkbox"/> ₹ 10- 25 lac	<input type="checkbox"/> More than ₹ 25 lac							
E)	In case of NRIs/ Foreign Nationals								
	RBI Approval Reference Number								
	RBI Approval date	D	D	M	M	Y	Y	Y	Y
F)	Bank details								
	1	Bank account type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____						
	2	Bank Account Number							
	3	Bank Name							

4	Branch Address											
		City/town/village				PIN Code						
		State				Country						
5	MICR Code											
6	IFSC											

G) Please tick, if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

H) **Standing Instructions**

1	I/We authorise you to receive credits automatically into my/our account.	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
2	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
3	SMS Alert facility [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]				
	Sr. No.	Holder	Yes	No	
	1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>	
	2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>	
	3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>	
4	Mode of receiving Statement of Account [Tick any one]	<input type="checkbox"/> Physical Form		<input type="checkbox"/> Electronic Form [Read Note and ensure that email ID is provided in KYC Application Form]	

I) **Guardian Details** where sole holder is a minor
 [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name										
PAN										
Relationship of guardian with minor										

J) **Nomination Option**

<input type="checkbox"/> I/We wish to make a nomination. [Details are provided at FORM 10]	<input type="checkbox"/> I/We do not wish to make a nomination.

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Name(s) of holder(s)		Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)		X
Second Holder (Mr./Ms.)		X
Third Holder (Mr./Ms.)		X

Notes :

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

=====

Acknowledgement

PEE AAR SECURITIES LIMITED

AG-20, Shalimar Bagh, Delhi-110088 DPID IN-301428

New Address : AG-5, Shalimar Bagh, Delhi-110088

Received the application from Mr/Ms _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Participant Stamp & Signature

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only (To be filled by financial institution)

Application Type* New Update

KYC Number (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN - Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector)	
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife <input type="checkbox"/> Student)
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorized			

PHOTO

Passport Size Photograph

Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

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

<input type="checkbox"/> A- Passport Number <input type="text"/>	Passport Expiry Date <input type="text"/>
<input type="checkbox"/> B- Voter ID Card <input type="text"/>	
<input type="checkbox"/> C- PAN Card <input type="text"/>	
<input type="checkbox"/> D- Driving Licence <input type="text"/>	Driving Licence Expiry Date <input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar) <input type="text"/>	
<input type="checkbox"/> F- NREGA Job Card <input type="text"/>	
<input type="checkbox"/> Z- Others (any document notified by the central government) <input type="text"/>	Identification Number <input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code <input type="text"/>	Identification Number <input type="text"/>

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)

Voter Identity Card NREGA Job Card Others please specify

Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* City / Town / Village* ISO 3166 Country Code*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

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

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

FAX - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

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

Related Person Type* Guardian of Minor Assignee Authorized Representative

Prefix First Name Middle Name Last Name

Name*

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

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

A- Passport Number Passport Expiry Date --

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date --

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)


8. APPLICANT DECLARATION

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

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

 Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

**Know Your Client (KYC)
Application Form (For Individuals Only)**

PEE AAR SECURITIES LIMITED



Application No. :

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

3. Nationality Indian Other (Please specify) _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN

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

 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

[Signature / Thumb Impression]

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village							Pin Code		
State				Country					

2. Contact Details

Tel. (Off.) (ISD) (STD)	Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD)	Fax (ISD) (STD)
E-Mail Id.	

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village							Pin Code		
State				Country					

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Gas Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

DECLARATION

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

Place: _____ Date: _____

SIGNATURE OF APPLICANT



FOR OFFICE USE ONLY

IPV Done on

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

AMC/Intermediary name OR code _____
 (Originals Verified) Self Certified Document copies received
 (Attested) True copies of documents received
 Main Intermediary _____

Seal/Stamp of the intermediary should contain
 Staff Name
 Designation
 Name of the Organization
 Signature
 Date

Seal/Stamp of the intermediary should contain
 Staff Name
 Designation
 Name of the Organization
 Signature
 Date

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/OCIC overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers , senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is a mandatory requirement for 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 allied to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. Passport/Voters Identity Card/Ration Card/Registered

Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/ Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.,to their Members.
7. For FII/sub account, Power of Attorney given by FII / subaccount 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/Income tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI's for all , 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.

To,
(Name , address of the Client)

Dear Sir/Madam,

Sub: Updating of Mobile Number/E-mail Id for clients

Ref: Broking Code _____ and/or Demat account number _____.

Greetings from Pee Aar Securities Limited

We wish to inform you that as per NSDL Circular No.: NSDL/POLICY/2015/0040 dated 13th April 2015 there should be separate Mobile number and E-mail Id for each client.

However, under exceptional circumstances the clients can provide the same Mobile number/E-mail Id for more than one client belongs to one family. Family for this purpose has been defined as Self, Spouse, Dependent Children and Dependent parents.

We have observed that the Mobile number/E-mail ID registered in your account with us is also registered in broking/demat account of other clients. You are therefore requested to fill up the details as given in **Annexure "I"** below and submit the same to your Relationship Manager or at the nearest Branch/sub Broker/Authorized Person.

In case of any queries please feel free to get in touch with your relationship manager or contact us at (011) 42258000.

Also, we will activate your E-statement option in your demat account.

Thanking you,

Yours Truly

Pee Aar Securities Limited Annexure - I

As per our record the following Mobile number and/or E-mail ID is registered in your demat/broking account with us. You are requested to identify the relationship with the person whose Mobile number and/or E-mail ID is provided:

	Details	Relationship with the person whose Mobile number / E-mail Id is provided (Tick ✓ wherever applicable)
Mobile Number	_____	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents
Email ID	_____	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents

If the aforesaid Mobile number and/or E-mail Id are of a person other than the family members as defined above, then provide herein below another Mobile number and/or E-mail Id, declaring the relationship with the person whose Mobile number and/or E-mail Id is being provided to us.

	Details	Name of the person whose Mobile number and/or E-mail Id is provided	Relationship with the client (Tick ✓ wherever applicable)
Mobile Number	_____	_____	<input type="checkbox"/> Self <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children
Email ID	_____	_____	<input type="checkbox"/> Self <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children

○

✍

(Sole/First Holder)

(Second Holder)

(Third Holder)

(In case of demat account having joint holders, all holders need to sign)

Supplementary KYC Information & FATCA-CRS Declaration - Individuals

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

PAN* Folio No. *If PAN is not available

Name Gender M F O

Type of address given at KYC KRA Residential Residential or Business Business

Place of Birth

Country of Birth

Nationality

Gross Annual Income Details in INR Below 1 Lakh 1 - 5 Lacs 5 - 10 Lacs 10 - 25 Lacs 25 Lacs - 1 Crore > 1 Crore

Net Worth in INR. in Lakhs
₹.
Net Worth as on

Occupation Details Business Professional Public Sector Housewife Retired Others [Please specify]
 Private Sector Government Service Agriculturist Student Forex Dealer

Politically Exposed Person [PEP] Yes Related to PEP Not Applicable

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country#	Tax Identification Number*	Identification Type (TIN or Other, please specify)	If TIN is not available, Please tick the A, B, or C (as defined below)		
			Reason A	Reason B	Reason C
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

*To also include USA, where the individual is a citizen / green card holder of The USA

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

Reason A - The country where the Account Holder is liable to pay tax dose not issue Tax Identification Number to its residents.

Reason B - No TIN required. (Select this reason only if the authorities of the respective country of tax residence o not require the TIN be collected)

Reason C - Others; Please state the reason thereof.

Certification

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Signature



Date

Place

For investor convenience, **pee Aar Securities Ltd.** is collecting this mandatory information for updating across all participating **pee Aar Securities Ltd.** (List in the cover email / letter) where you are already an investor or would become an investor in future.

Please submit the form duly filled, signed, for all the holders, separately, and submit at your nearest pee Aar Securities Ltd. branch or you can dispatch the hard copy to -

pee Aar Securities Limited
AG-20, Shalimar Bagh, Delhi-110088 INDIA **New Address : AG-5, Shalimar Bagh, Delhi-110088 INDIA**

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account 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 account 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.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

To,
Pee Aar Securities Limited
AG-20,
Shalimar Bagh,
Delhi-110088

New Address : AG-5,
Shalimar Bagh,
Delhi-110088

Dear Sir,

This is to inform you that _____ and
_____ are one same person so you are request please
open this account with the name of _____ and I have no
objection to received any payout in favour of _____ .

Also, I opt for non BSDA, regular account & decline BSDA.

Thanking You

Signature



NAME : _____

Address : _____

Date : _____

ADDITIONAL DOCUMENTS TO BE PROVIDED IN CASE OF NON-INDIVIDUAL

ALL DOCUMENTS SELF ATTESTED

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

*In case of corporate entity, please also provide List of Directors for opening Demat Account.

*This list is not exhaustive.

*It changes as per regulatory requirements.

*KRA & CKYC are additional requirements.

HUF / KARTA DECLARATION

To whom so ever it my concern.

This is to inform you that Mr. _____
is applying for KYC Verification. In this regard, following are list of coparceners

S.No.	Name	Relation	Date of Birth	Signature
1.	_____	_____	_____	_____
2.	_____	_____	_____	_____
3.	_____	_____	_____	_____
4.	_____	_____	_____	_____
5.	_____	_____	_____	_____

PAN No. of HUF is _____

Thanking you

(_____)

Karta

[Signature and Stamp]




ACKNOWLEDGMENT

PEE AAR SECURITIES LIMITED

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form, Rights and Obligations, RDD, Policies & Procedures and also the receipt of copy the documents, Rights and Obligations of the Beneficial Owner and Depository Participant, Schedule of Service Charges and All Other Documents as executed me/us.

Trading Code _____ Client ID : _____

Name & Signature of Client

	Sole/First Holder/Authorised Signatory	Second Holder/Authorised Signatory	Third Holder/Authorised Signatory
Signature			
Name			

* Please stamp & Sign in case of HUF Account ** In Case of Joint holding. All joint holders must sign.

Date _____

N**Know Your Client (KYC)
Application Form (For Non-Individuals Only)****PEE AAR SECURITIES LIMITED****Pee Aar****The Financial People**
SINCE 1995

Application No. :

Please fill in **ENGLISH** and in **BLOCK LETTERS****A. Identity Details (please see guidelines overleaf)**1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

2. **Date of Incorporation**

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

Place of Incorporation

3. **Registration No. (e.g. CIN)**

Date of commencement of business

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

4. **Status** Please tick (✓) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust / Charities / NGOs HUF FI FII
 PFI Category I PFI Category II PFI Category III AOP Bank Government Body Non-Government Organisation
 Defence Establishment Body of Individuals Society LLP Others *(Please specify)*5. **Permanent Account Number (PAN) (MANDATORY)**

 Please enclose a duly attested copy of your PAN Card**B. Address Details (please see guidelines overleaf)**1. **Address for Correspondence**

City / Town / Village
Postal Code

State
Country

2. **Contact Details**

Tel. (Off.)	(ISD)	(STD)		Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)		Fax	(ISD)	(STD)

E-Mail Id.

3. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf). *(Please specify)*
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

4. **Registered Address (If different from above)**

City / Town / Village
Postal Code

State
Country

5. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf). *(Please specify)*
*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**

d	d	/	m	m	/	y	y	y	y
---	---	---	---	---	---	---	---	---	---

C. Other Details (please see guidelines overleaf)1. **Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors**
(Please use the Annexure to fill in the details)2. **Any other information:****DECLARATION**

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any 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.

Place:

 Date:

**NAME & SIGNATURE(S)
OF AUTHORISED
PERSON(S)****FOR OFFICE USE ONLY**

AMC/Intermediary name OR code

PEE AAR SECURITIES LIMITED (Originals Verified) Self Certified Document copies received (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

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, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

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

E. List of people authorized to attest the documents:

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

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

Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant _____

1. Name _____
 PAN _____
 Residential / Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

2. Name _____
 PAN _____
 Residential / Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

3. Name _____
 PAN _____
 Residential / Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

4. Name _____
 PAN _____
 Residential / Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

5. Name _____
 PAN _____
 Residential / Registered Address _____

 City/Town/Village _____ Pin Code _____
 State _____ Country _____
 Relationship with Applicant (i.e. promoters, whole time directors etc.) _____
 Whether Politically Exposed PEP (Politically Exposed Person) RPEP (Related to Politically Exposed Person) NO

Please affix the recent passport size photograph and sign across it

 Name & Signature of the Authorised Signatory(ies)

Date | d | d | / | m | m | / | y | y | y | y |

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals


Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph of Directors / Co-partener with Signature



Name & Signature of the Authorised Signatory(ies) _____ Date | d | d | / | m | m | / | y | y | y | y |

FORM 11
PART II – ACCOUNT OPENING FORM
(FOR NON-INDIVIDUALS)

		AG-20, Shalimar Bagh, Delhi-88 New Address : AG-5, Shalimar Bagh, Delhi-110088	Client –ID (To be filled by Participant)																
We request you to open a depository account in our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>			Date	D	D	M	M	Y	Y	Y	Y								
A) Details of Account holder(s):																			
		Name	PAN																
Sole/ First Holder																			
Second Holder																			
Third Holder																			
B) Type of account																			
<input type="checkbox"/> Body Corporate		<input type="checkbox"/> FI		<input type="checkbox"/> FII															
<input type="checkbox"/> Qualified Foreign Investor		<input type="checkbox"/> Mutual Fund		<input type="checkbox"/> Trust															
<input type="checkbox"/> Bank		<input type="checkbox"/> CM		<input type="checkbox"/> HUF															
				<input type="checkbox"/> Other (Please specify)															
C) For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:																			
a) Name						b) PAN													
D) Income Details (please specify)																			
Income Range per annum		and		Networth															
<input type="checkbox"/> Below ₹ 20 Lac				Amount (₹) _____															
<input type="checkbox"/> ₹ 20 – 50 Lac				As on (date) <table style="display: inline-table; border-collapse: collapse;"><tr><td style="border: 1px solid black; width: 20px; text-align: center;">D</td><td style="border: 1px solid black; width: 20px; text-align: center;">D</td><td style="border: 1px solid black; width: 20px; text-align: center;">M</td><td style="border: 1px solid black; width: 20px; text-align: center;">M</td><td style="border: 1px solid black; width: 20px; text-align: center;">Y</td><td style="border: 1px solid black; width: 20px; text-align: center;">Y</td><td style="border: 1px solid black; width: 20px; text-align: center;">Y</td><td style="border: 1px solid black; width: 20px; text-align: center;">Y</td></tr></table>								D	D	M	M	Y	Y	Y	Y
D	D			M	M	Y	Y	Y	Y										
<input type="checkbox"/> ₹ 50 Lac – 1 crore		(Networth should not be older than 1 year)																	
<input type="checkbox"/> Above ₹ 1 crore																			
E) In case of FIIs/Others (as may be applicable)																			
RBI Approval Reference Number																			
RBI Approval date		D	D	M	M	Y	Y	Y	Y										
SEBI Registration Number (for FIIs)																			
F) Bank details																			
1	Bank account type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____																		
2	Bank Account Number																		
3	Bank Name																		
4	Branch Address																		
		City/town/village						PIN Code											
		State						Country											

	5	MICR Code														
	6	IFSC														
G)	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:			<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)												
H)	Clearing Member Details (to be filled up by Clearing Members only)															
	1	Name of Stock Exchange														
	2	Name of Clearing Corporation/ Clearing House														
	3	Clearing Member ID														
	4	SEBI Registration Number														
	5	Trade Name														
	6	CM-BP-ID (to be filled up by Participant)														
I)	Standing Instructions															
	1	We authorise you to receive credits automatically into our account.										<input type="checkbox"/> Yes <input type="checkbox"/> No				
	2	Account to be operated through Power of Attorney (PoA)										<input type="checkbox"/> Yes <input type="checkbox"/> No				
	3	SMS Alert facility														
		Sr. No.	Holder			Yes			No							
		1	Sole/First Holder			<input type="checkbox"/>			<input type="checkbox"/>							
		2	Second Holder			<input type="checkbox"/>			<input type="checkbox"/>							
		3	Third Holder			<input type="checkbox"/>			<input type="checkbox"/>							
	4	Mode of receiving Statement of Account [Tick any one]			<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [<i>Read Note 3 and ensure that email ID is provided in KYC Application Form.</i>]											
J)	List of family members (Separate Annexure maybe used in case number of members is higher)															
	Sr No.	Name of Coparcener/Member			Gender	Date of Birth	Relation with Karta			Whether Coparcener/Member (please specify)						

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)

Sole/First Holder	Name	Signature(s)
First Signatory/Karta of HUF		X
Second Signatory		X
Third Signatory		X
<u>Other Holders</u>		
Second Holder		X
Third Holder		X

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)	
<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (please specify)	

Notes:

- In case of additional signatures, separate annexures should be attached to the application form.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

=====

Acknowledgement

PEE AAR SECURITIES LIMITED, AG-20, Shalimar Bagh, Delhi-110088, DP ID IN301428

New Address : AG-5, Shalimar Bagh, Delhi-110088

Received the application from M/s _____ as the sole/first holder along with _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Participant Stamp & Signature

Common Aadhaar linking form across Pee Aar Serviced Mutual Funds / Broking/ Depository services.

Name of the Non-Individual																				
PAN of the Non-Individual																				

Consent of Individual Authorized Signatories

I / We hereby provide my / our consent 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 / disclose of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund/stock broker/ Depository Participant/ commodity broker and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios/demat/trading account with my / our PAN.

Details of Authorized Signatories as available in Aadhaar (Kindly use another form in case of 6 signatories)

S. No.	Name of the Authorized Signatory	PAN of the Authorized Signatory	Aadhaar of the Authorized Signatory	Date of Birth of the Authorized Signatory (DD/MM/YYYY)	Mobile Number of the Authorized Signatory	Pin code of the Authorized Signatory	Gender of the Authorized Signatory (M/F/Others)	Signature of the Authorized Signatory
1.								
2.								
3.								
4.								
5.								
6.								

Certificate from Company Secretary / any other competent authority of the Organization

I, _____ Company Secretary / Competent Authority to is sue this certification on behalf of the organization hereby confirm the correctness of the above information. The above specified list of personnel covers all authorizing signatories on behalf our organization and this list will supersede all our earlier ASL. We will let you know the changes / modifications from me to me, if any, through appropriate means to Pee Aar / participating MFs / Trading/ Depository. Above signatories have consented for sharing the above information with Pee Aar / participating MFs/Trading/ Broking in corporate & individual capacity and also for validating the same with UIDAI wherever warranted. This information is provided to comply with the PMLA requirements and should not be used for any other purpose unless it is required under any law / regulatory purpose.

**Regards
For**

Company Secretary / Authorized Signatory (ies)

Company Seal



Supplementary KYC Information & FATCA-CRS Declaration - Entities & HUF
(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

PAN* Name

Type of address given at KYC KRA Residential Residential or Business Business Registered Office

City of incorporation

Country of incorporation

Net Worth in INR. In ₹ Lakhs Net Worth as on DD / MM / YYYY

(Date should not be older than one year)

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES <input type="checkbox"/>	Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]	YES <input type="checkbox"/>	Money Laundering / Pawning	YES <input type="checkbox"/>	Any other information [if applicable]
		NO <input type="checkbox"/>		NO <input type="checkbox"/>		NO <input type="checkbox"/>	

Entity Constitution Type Please tick as appropriate
 Partnership Firm HUF Private Limited Company Public Limited Company Society AOP/BOI
 Trust Liquidator Limited Liability Partnership Artificial Juridical Person Others specify _____

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.)

Country	Tax Identification Number ⁶	Identification Type (TIN or Other ⁵ , please specify)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

⁴ In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number

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

FATCA Declaration
(Please consult your professional tax advisor for further guidance on FATCA classification)

PART A (to be filled by Financial Institutions or Direct Reporting NFFEs)

1. We are a, Financial institution <input type="checkbox"/> or Direct reporting NFFE <input type="checkbox"/> <small>(please tick as appropriate)</small>	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 <input type="text"/> <input type="text"/>
GIIN not available <small>(please tick as applicable)</small> <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category ¹⁰ <input type="text"/> <input type="checkbox"/> Not obtained - Non-participating FI	

PART B (please fill any one as appropriate to be filled by NFEs other than Direct Reporting NFEs)

1. Is the Entity a <i>publicly traded company</i> (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please specify any one stock exchange on which the stock is regularly traded)</small> Name of stock exchange _____
2. Is the Entity a related entity ² of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</small> 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 <i>active</i> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please fill UBO declaration in the next section.)</small> Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> <small>(Mention code - refer 2c of Part D)</small>
4. Is the Entity a <i>passive</i> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> <small>(If yes, please fill UBO declaration in the next section.)</small> Nature of Business _____

¹Refer 2a of Part D | ²Refer 2b of Part D | ³Refer 2c of Part D | ⁶Refer 1 of Part D | ⁷Refer 3(vii) of Part D | ¹⁰Refer 1A of Part D

UBO Declaration

Category (Please tick applicable category): Unlisted Company Partnership Firm Limited Liability Partnership Company
 Unincorporated association / body of individuals Public Charitable Trust Religious Trust Private Trust
 Listed Company (Need not provide UBO details sought under) 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).

Owner-documented FFI's⁵ should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person	#Tax ID Type - TIN or Other, please specify	Address - Include State, Country, PIN / ZIP Code & Contact Details
#Country - Tax Residency*	Beneficial Interest - in percentage	
#Tax ID No. - Or functional equivalent for each country ⁵	#Type Code ¹¹ - of Controlling person	
1. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP [][][][][][][][] State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP [][][][][][][][] State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Beneficial Interest _____ Type Code _____	Address _____ ZIP [][][][][][][][] State: _____ Country: _____

If passive NFE, please provide below additional details.

(Please attach additional sheets if necessary)

PAN City of Birth Country of Birth	Occupation Type - Service, Business, Others Nationality Father's Name - Mandatory if PAN is not available	DOB - Date of Birth Gender - Male, Female, Other
1. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY _____ Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
2. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY _____ Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>
3. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father's Name _____	DOB DD/MM/YYYY _____ Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

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

⁵In case Tax Identification Number is not available, kindly provide functional equivalent

⁴Refer 3(iii) of Part D | Refer 3(vi) of Part D | ¹¹Refer 3(iv) (A) of Part D

FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Certification

I have understood the information requirements of this Form (read along with the Instructions & Definitions) and hereby confirm that the information provided by us on this Form is true, correct, and complete. I also confirm that I have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name	
Designation	

Place _____

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

26 Date [][] - [][] - [][][][][][][][][][]

TRADING ACCOUNT RELATED DETAILS

FOR INDIVIDUALS & NON-INDIVIDUALS

A. BANK ACCOUNT(S) DETAILS

[Through which transactions will generally be routed]

Bank Name

Branch Address

City/Town/Village PIN Code

State Country

Bank Account No.

Account Type Saving Current Others - In case of NRI NRE NRO

MICR Number IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name (1)

Depository Name NSDL DP ID BO ID

CDSL DP ID BO ID

Beneficiary Name

Depository Participant Name (2)

Depository Name NSDL DP ID BO ID

CDSL DP ID BO ID

Beneficiary Name

C. TRADING PREFERENCES

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges	Segments					
NSE	Cash	<input type="checkbox"/>	F&O	<input type="checkbox"/>	Currency	<input type="checkbox"/>
BSE	Cash	<input type="checkbox"/>	F&O	<input type="checkbox"/>	Currency	<input type="checkbox"/>

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 Partners/pronoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years :

-
-
-

Place

Date

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

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name: _____ SEBI Regn. No. _____
Registered Office Address _____
City/Town/Village _____ PIN Code _____
State _____ Country _____
Phone _____ Fax _____ Website _____

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

Name of Stock Broker _____
Name of Sub-broker (if any) _____
Registered Office Address _____
City/Town/Village _____ PIN Code _____
State _____ Country _____
Client Code _____ Exchange _____

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

F. ADDITIONAL DETAILS

- ◆ Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)

Physical Contract Note Electronic Contract Note

Specify your Email id, if applicable _____

- ◆ Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) Yes No

- ◆ Number of years of Investment/Trading Experience Years _____

- ◆ In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of Company Firm Others _____

Name _____

PAN _____ Designation _____

Residential Address _____

City/Town/Village _____ PIN Code _____

State _____ Country _____

DIN / UID _____

Signature _____

Photograph
of Authorised
Person

Any Other Information _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer _____

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

Address of Introducer _____

City/Town/Village _____ PIN Code _____

State _____ Country _____

Phone No. _____

Signature of the Introducer _____

H. NOMINATION DETAILS (for individuals only)

I/We wish to nominate I/We do not wish to nominate

Name of the Nominee _____

Relationship with the Nominee _____

PAN of Nominee _____ Date of Birth of Nominee | | | - | | | - | | | | |

Address of the _____

City/Town/Village _____ PIN Code _____

State _____ Country _____

If nominee is a minor, details of guardian

Name of Guardian _____

Address of Guardian _____

Phone No. _____

Signature of guardian _____

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

1st Witness

Name _____

Signature _____

Address _____

_____ PIN Code _____

2nd Witness

Name _____

Signature _____

Address _____

_____ PIN Code _____

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.
4. I/We further Confirm & provide authorization for deposit of collateral with the exchange/clearing corporation/clearing house towards margin.
5. I/We provide shares to Broker Margin Account that can be used as a collateral Margin with the exchange/clearing corporation/clearing house.

Place _____

Date | | | - | | | - | | | | |



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

FOR OFFICE USE ONLY

UCC Code allotted to the Client

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
Employee Code	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
Designation of the employee	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
Date	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
Signature	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>

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

Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:
 - Copy of ITR Acknowledgment
 - Copy of Annual Accounts
 - In case of salary income - Salary Slip, Copy of Form 16
 - Net worth certificate
 - Copy of demat account holding statement.
 - Bank account statement for last 6 months
 - Any other relevant documents substantiating ownership of assets.
 - Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For individuals**
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. **For non-individuals**
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

1. Refusal of orders of penny / illiquid stock :

The stock broker may from time to time limit (quantity / value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security (ies), the order being for securities which are not in the permitted list of the stock broker / exchange(s) SEBI. Provided further that stock broker may require compulsory settlement / advance payment of expected settlement value / delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up client's exposure limits and conditions under which a client may not allowed to take further position or the broker may close the existing position of a client :

The exchange 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 places etc.) The client is award and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker'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 / exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution or orders due to not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange / SEBI and any other

reason which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. The stock broker is required only to communicate / advise the parameters for the calculation of the margin / security requirements as rate(s) / percentage(s) of the dealings, through anyone or more means or methods such as post / speed post / courier / registered post / registered A.D / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / security requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security) on his / her / its own and provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client. The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his/ her /its orders / trades / deals and to ensure that the required margin / security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she / it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account)

& / or any claim / loss / damage arising out of the non availability / shortage of margin / security required by the stock broker & / or exchange & / or SEBI. The stock broker is entitled to vary the form (i. e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or security required to be deposited / made available, from time to time. The margin / security deposited by the client with the stock broker are not eligible for any interest. The stock broker is entitled to include / appropriate any / all payout of funds & / or securities towards margin / security without requiring specific authorizations for each payout. The stock broker is entitled to transfer funds & / or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and authorises the stock broker to treat / adjust his/ her / its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange. The stock broker is entitled to disable / freeze the account & / or trading facility / any other service. facility, if, in the opinion of the stock broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. **Applicable brokerage rate :**

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

- a. For Cash Market Segment: The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- b. For Option contracts: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract.

It is hereby clarified that brokerage charged on options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

4. **Imposition of penalty/delayed payment charges:**

- (a) The client agrees that any amount, which are overdue from the client towards trading or on account of any other

reason to the stock broker, will be charged with delayed payment charges at the rate of 18% P.A. However the rate may be reduced as determined by the stock broker at its discretion.

- (b) The client agrees that the stock broker may impose fines / penalties for ant orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit.
- (c) 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 / action of the client, the same shall be borne by the client.

The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the stock brokers.

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

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or stock broker level / non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock

broker responsible for the same in any form or manner whatsoever. 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 marking 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 Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, 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. In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s). The stock broker is entitled to prescribe the date and time by which the margin / security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin / security expires. Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund / security or to meet the funds/margins/ securities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- A) To withhold any payout of funds / securities.
- B) To withhold / disable the trading / dealing facility to the client.
- C) To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.

- D) To liquidate / square off partially or fully the position of sale & / or purchase in anyone or more securities / contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- E) To take any other steps which in the given circumstances, the stock broker may deem fit. The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

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

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her/ its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.
- b. If securities cannot be purchased from market due to any reason whatsoever on T+3 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. 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 cases 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 auction 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.

7. Temporarily suspending or closing a client's account at the client's request :

- i. The client may request the stock broker to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and/ or other obligation.

- ii. The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

8. De-registering 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:

1. 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 the market, either alone or in conjunction with others.
2. If there is any commencement of a legal process against the Client under any law in force;
3. On the death/lunacy or other disability of the Client;
4. 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;
5. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
6. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
7. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
8. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
9. 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;
10. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;
11. If the Client is in breach of any term, condition or covenant of this Agreement;
12. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at Delhi, except where the rules/bye-laws of SEBI / concerned exchange provide otherwise.

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 circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read 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 / adjudicating authority including arbitrator/ mediator etc.

Signature 

Client Name _____

Date | | - | | - | | | |

TARIFF SHEET

CASH SEGMENT

	Brokerage Slab %	Minimum Paise
Delivery Based		
Daily Square up		

DERIVATIVES SEGMENT

	Brokerage Slab %	Minimum Paise / Per Lot
Future		
Option		

CURRENCY DERIVATIVES SEGMENT

Brokerage Slab %	Minimum Paise / Per Lot
	Rs, 25/-

MUTUAL FUND

	Brokerage Slab %	Minimum Paise
Delivery Based		

Signature  _____

In case, physical contract notes are to be dispatched to a client, an additional amount of Rs. 25/- may be charged towards minimum processing fee in total brokerage booked on a particular date.

For Client opting for online application based facility

I wish to avail ODIN DIET Client (application based) / NOW (browser based application) online trading facility and ready to pay Rs. 200/-p.m. subscription fees per exchange per segment and authorize you to debit the subscription fees as applicable to my trading account for availing the said facility. I further agree / accept that subscription fees will not be debited in my account id I generate a brokerage of Rs.1000/- p.m. per segment (for which online facility is availed). In case of auto renewal of opted facility, I authorize you to debit the subscription fees as applicable from time to time.

Signature  _____

Client Name _____

Date | | | - | | | - | | | | |

AUTHORITY LETTER

With respect to the client - member relationship with you, we authorize you to do the following:

- 1) **Adjustment of account between exchanges and segments** : I/we hereby inform you that I have executed/intend to execute an agreement with you for trading on different exchanges, i.e., NSE, BSE in cash and derivative segments. I/We request you to transfer, make adjustments and/or set off a part or whole of the securities placed as margin and/or any surplus funds in any of the accounts maintained with you against the outstanding dues payable if any, by me/us to any of my/our account(s) maintained with you. You will have lien on the credit balance in any of my/our account for meeting the debit or obligations in progress in any other of my/our account. Any entries passed by you in accordance with this authorization will be binding on me/us.
- 2) **Adjustment of balances between PEE AAR SECURITIES Companies** : I/we may have accounts with other group companies of Pee Aar Securities for availing different financial services. So as to avoid delays in transfer of funds from one of my accounts in one company to another in another company of the group I authorize you to net off/adjust my credit/balance with you with any other Pee Aar Securities group company by way of accounting entries.
- 3) **Pledge of Monies/Securities** : I/We irrevocably authorize you to pledge any securities purchased for me/us and held in your Pool A/c, awaiting payment of price from me/us, with any bank or other institution as you may deem fit.
- 4) **Authorization to debit Demat Account operating charges** : I/We opened/ have a Beneficiary account with you and I/we have a trading account with you for investment and trading purpose. It will be very difficult for me/us to issue separate cheques against your depository bills. Hence, I authorize you to debit the trading account for the debit charges payable to you as Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.
- 5) **Subscription To Access Research Analysis** : I/We hereby give my/our consent to you to annually transfer a sum Rs _____ towards annual subscription for accessing Pee Aar Securities Research Analysis from the amount lying to the credit of any of my/our accounts with you (including the margin money). I/We alone only shall be responsible if any orders are placed by me/us for trading based on the Research work / Equity / Currency analysis of Pee Aar Securities Research Analysis and you shall not be liable for any profit or loss arising out of such transactions. Constituent undertakes to keep Pee Aar Securities indemnified on this aspect for all transactions undertaken by me/us.
- 6) **Authorization For Communication of Financial Products** : I/We have opened an account with you and am/are interested in knowing about other financial products. I/We authorize you, your group companies and associates to keep me/us informed with any financial product which Pee Aar Securities, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.
- 7) **Authorization for verification of information from independent agency(ies)** : I/We, do hereby certify that the information provided by me/us in this account opening form is true and correct in all respects and Pee Aar Securities is entitled to verify this directly or through any third party agent. I/We further acknowledge the Pee Aar Securities right to seek any information from any other source in this regard. I/We do understand that all the information will form the basis of any facility that Pee Aar Securities may decide to grant me/us at its sole discretion. I/We consent and authorize Pee Aar Securities to share or generate subsequently any report through CIBIL or authorized agency/bureau.

Please score out whatever not accepted/ not agreed with.

Signature



AUTHORISATION TO SEND CONTRACT NOTE, STATEMENT OF FUNDS & SECURITIES ETC. ELECTRONICALLY

I/we authorise you to issue the contract notes, statement of funds & securities, circulars, amendments, Client Registration Documents and such other documents in electronic mode in lieu of physical mode on my E-mail ID as given in KYC form and updated from time to time.

Any change in the E-mail ID shall be communicated by me / us in writing to your customer care department or through secured login available on your website.

Further, to my /our authority to you to issue Contract Notes in digital format I/we 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 the Contract Notes issued to us.

I/We authorize you to send periodic statements of funds and securities & margin statement etc. in digital format at my Email address unless I/We request you in writing to send them in paper form.

I/We hereby acknowledge that all the documents as send above by Pee Aar Securities electronically will be considered as having delivered to me once the e-mail leaves the Pee Aar Securities e-mail server unless the same is rejected by client e-mail server and bounced mail notification is not received by Pee Aar Securities I/We further agree that in the absence of communication from my/our end regarding non-receipt of documents through e-mail, or notification of any discrepancy within 2 days from the date of issuance of digital contract note through e-mail, Pee Aar Securities may construe that there is a deemed acknowledgment of the document(s) send to client electronically.

Signature



Client Name

Date

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LETTER OF AUTHORISATION - AUTHORISED TRADING BY RELATIVE

- I, the undersigned write to notify you that I have appointed Mr./Ms. _____ [having residential address _____ Phone No. _____ Mobile No. _____ Email address _____] (hereinafter called the 'Agent') who is my Father/ Mother/ Son/ Daughter/ Spouse* to act on my behalf to give buy or sell instructions of every type and description including but not limited to futures, foreign exchanges, options and CFDs. (*score out the inapplicable and attach proof of relationship e.g. Ration card/ marriage certificate/ Voter ID)
- I ACKNOWLEDGE THAT PRIOR TO COMPLETING AND EXECUTING THIS LETTER I HAVE READ AND UNDERSTOOD THE DISCLOSURE STATEMENT PRINTED BELOW.
- I further declare and agree that:-
 - my agent shall have power as my agent to act as fully and effectually for the purpose(s) as I could do personally;
 - all acts and matters previously done by my Agent in respect of my account(s) opened and maintained with you are hereby deemed ratified and confirmed; and
 - notwithstanding the authorisation given to my Agent above, I may still communicate instructions to you personally. However, in the event of any inconsistency between instructions communicated by my Agent and instructions communicated by me personally, you shall have the absolute discretion (but shall not be obliged) to act upon the instructions communicated last in time and in your sole opinion considered capable of being acted upon, and in so acting you shall not be liable for any loss whatsoever and howsoever arising.
- I further acknowledge that my appointment of my Agent is made by me of my own free will and as a result of my own judgment and deliberations. You shall accordingly be under no liability whatsoever in respect of any loss or damage which I may suffer or incur as a result of the acts or omissions of my Agent (including any acts involving dishonesty, criminal breach of trust, theft or other criminal offences). I further agree to be fully responsible for such acts or omissions of my Agent and shall indemnify and hold you harmless from any and all claims, liabilities, penalties, adverse consequences, losses, damages, costs or expenses (including legal fees on a full indemnity basis) which you may incur, be subjected to or suffer, arising out of, in relation to or in connection with, your relying on or acting in accordance with acts and /or omissions of my Agent within the scope of my Agent's ostensible authority. I also acknowledge that you are not obliged to ascertain or enquire into the terms and conditions on which my Agent was appointed, the context or circumstances in which any decision was taken by my Agent, the soundness of such decision or the purpose for which any of the decisions were taken.
- The appointment of my Agent and authority conferred shall continue until written notice of revocation by me is received by you. I undertake to ratify and confirm all acts and things done by my Agent on my behalf until your receipt of such notification.
- I acknowledge that I have received a copy of the following Risk Disclosure and understand its contents. I am signing this letter of authorisation after having reviewed the risks pointed out to me and am willing to accept the same and I am signing this letter of authorisation voluntarily.

Signature



DISCLOSURE STATEMENT

PLEASE DO NOT SIGN THIS LETTER OF AUTHORISATION IF YOU DO NOT FULLY UNDERSTAND THE CONSEQUENCES OF SIGNING IT. This letter of authorisation is an IMPORTANT DOCUMENT. By signing it, you are authorising your Agent to enter into trading transactions on your behalf. You should know that your Agent will be acting as your agent. We will therefore not be responsible for any acts or omissions of your Agent in respect of any acts and/or things which may be done by him or her in exercise of authority you have given by signing this letter. In particular, we will not be responsible for any theft, misappropriation or other criminal, fraudulent or negligent acts of your Agent with respect to your share transactions or any loss due to his/her incompetence, inexperience or negligence. Please also particularly note that in granting this discretionary trading authority your Agent may affect trading transactions without reference to you.

CONSENT FOR AVAILING MARGIN TRADING FACILITY (MTF)

I/We wish to avail the Margin Trading Facility (MTF) on the platform of National Stock Exchange of India Limited and BSE Limited as per the framework prescribed by SEBI vide its' circular No. CIR/MRD/DP/54/2017 dated Jun 13, 2017.

Further, I/We have read and understood "Rights and Obligation of Stock Brokers & Client for Margin Trading Facility (MTF)" as prescribed by NSE vide its Circular No. NSE/COMP/35260 dated June 30, 2017 and BSE vide its Circular No. 20170619-26 dated June 19, 2017.

I/We have read & understood the "Policies & Procedures for MTF" as specified by Pee Aar Securities regarding terms and conditions of Margin Trading Facility, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/positions etc and agreed to abide by the clauses mentioned therein all the times. Further, I/we will refer to Pee Aar Securities website from time to time for any updation w.r.t policies & procedures.

Signature



Client Name

Date

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DECLARATION FOR NOT HAVING EMAIL-ID

This is with reference my request for opening the trading account, I hereby confirm and declare that currently I do not have any Email ID.

I further undertake to inform you of any changes therein, immediately.

Signature of Client

DECLARATION FOR PROVIDING SMS AND E-MAIL ALERTS TO RELATIVE

I hereby declare that the Mobile Number and/or Email ID given in the account opening form are of my relative. He / She already has a trading account with PEE AAR SECURITIES LTD. under the below mentioned PAN or UCC.

Relationship: Spouse Dependent parent Dependent child (✓ where applicable)

Name of the relative : _____

PAN of the relative: _____

Or

Unique Client Code (UCC) of the relative: _____

I request you to please accept their Mobile number and/or E-mail ID for the purpose of sending SMS and/or E-mail alerts by the Stock Exchange / Depository to me.

Signature of Client

DECLARATION FOR NAME MISMATCH
(To be filled if the name on documents is different)

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

Name as per PAN CARD _____

Name as per Address Proof _____

Name as per Bank Proof _____

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep PRS indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by PRS for any act done or omitted to be done on the above declaration.

Signature of Client

DECLARATION FOR SIGNATURE MISMATCH
(To be filled if client's signature is mismatched from PAN Card and Bank)

This is to bring into your notice that my signature on PAN Card / Bank and account opening form are as follows:

Signature as per Bank

Signature as per Account Opening Form

Signature as per PAN Card

I hereby confirm that all the above signatures are mine. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep PRS indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by PRS for any act done or omitted to be done on the above declaration.

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS
(As prescribed by SEBI and Stock Exchanges)

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

CLIENT INFORMATION

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

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is

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

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

TRANSACTIONS AND SETTLEMENTS

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

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

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

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

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

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

ADDITIONAL RIGHTS AND OBLIGATIONS

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

(available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

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

ELECTRONIC CONTRACT NOTES (ECN)

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

LAW AND JURISDICTION

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

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

- 1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.
- 1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.
- 1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

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

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

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

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

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

2.2 Currency specific risks:

- 1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

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

2.3 Risk of Option holders:

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

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.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization, 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 may maintain a running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

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

Pee Aar Securities Ltd. (PRS), member of National Stock Exchange of India Limited (NSE), BSE Limited (BSE) and is eligible to provide Margin Trading Facility (MTF) in NSE and BSE to its clients in accordance with prescribed guidelines, rules and circulars issued by SEBI / Stock Exchanges from time to time. The Rights & Obligations / Terms & Conditions for MTF prescribed hereunder form part of account opening form, shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011, SEBI Circular No. CIR/MRD/DP/54/2017 Dated June 13, 2017 and the Rules, Regulations, Bye laws, Rights and Obligations, Guidelines, circulars issued by respective Stock Exchanges from time to time.

A. The Client undertakes, authorizes, confirms and agrees to/that:

1. Avail MTF in accordance with the terms and conditions of MTF offered by PRS.
2. PRS at all times shall have the liberty to exercise its right in its sole discretion to determine the extent to which the MTF to be made available to the Client.
3. The Initial Margin payable shall be in the form of cash, cash equivalent, or Group I Equity securities with appropriate hair cut.
4. If the transaction is entered under MTF, there will not be any further confirmation that it is margin trading transaction other than contract note or statement sent on T+1 day in case client confirms MTF trade after issuance of contract note.
5. PRS shall have discretion to allocate available securities/funds as collateral against MTF.
6. PRS shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of PRS) and PRS shall not be required to provide any reasons thereof nor shall PRS be liable for any damages (whether direct or consequential or whether financial or non-financial) to the Client by reason of PRS refusal to grant MTF to the Client.
7. Client includes Individual, Company, Partnership Firm, Trust, Hindu Undivided Family, Association of Persons and Body of Individuals etc.
8. The terms / conditions / Obligations of the Client as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.
9. PRS to retain and / or pledge the securities and its corporate benefits, if any, with PRS utilized for availing MTF till the amount due in respect of the said transaction including the dues to PRS is paid in full by the Client.
10. PRS to hold and / or to appropriate the credit lying in the Client account and/or any unutilized/ unpledged shares/ securities lying in demat account along with all other demat accounts / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues thereof under MTF.
11. Treat the securities available in demat account/s linked to the trading account of the Client as margin towards the MTF availed.
12. PRS may release/ unpledge / transfer the securities utilized for MTF within 5 working days from the date of clearing the dues to PRS.

Rights of the Client

1. Free to take the delivery of the securities at any time from its MTF account to normal trading account by repaying the amount that was paid by PRS to the Exchange towards securities after paying all dues.
2. May change the securities collateral offered for MTF at any time so long as the securities so offered are approved for MTF by PRS.

Obligations of the Client

1. Transaction/s to be considered for exposure to MTF shall be informed to PRS in writing or in any other irrefutable mode of communication not later than T+1 day, else the same shall be considered under normal trading facility.
2. By agreeing to avail MTF with PRS, client is deemed to have authorized PRS to retain and/or pledge the securities provided as collateral or purchased under the MTF till the amount due in respect of the said transaction including the dues to PRS is paid in full by the client.

B. PRS undertakes, authorizes, confirms and agrees to/that:

1. PRS shall monitor and review on a continuous basis the client's positions with regard to MTF.
2. Additional exposure over debit balance (arising out of trade executed under normal trading facility), beyond fifth trading day reckoned from pay-in date, may be granted under MTF to the extent the Client is eligible and subject to availability of required margin. In such event, PRS in its discretion may identify the eligible/excess securities available with the client and mark as collateral towards MTF. All credit arising out of sale transaction under MTF shall be first adjusted towards the debit under normal trading facility, if any and subject to adequate margin being maintained for the outstanding MTF debit.

Rights of PRS

1. PRS and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. PRS may set up its own risk management policy that will be applicable to the transactions done under the MTF. PRS may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the MTF.

3. PRS has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the MTF.
4. PRS may liquidate the securities if the client fails to meet the margin call made by PRS as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

Obligations of PRS

1. PRS shall not use the funds and securities of one client to provide MTF to another client, even on the authority of the client.
2. The Securities deposited as collateral for availing MTF (Collaterals) and the Securities purchased under the MTF (Funded Securities) shall be identifiable separately and no commingling shall be permitted for the purpose of computing funding amount.
3. The daily margin statements sent by PRS to the client shall identify the margin/collateral for Margin Trading separately.
4. In case the client determines to convert a normal trade into MTF after the issuance of contract note, PRS shall issue appropriate records to communicate to the Client, the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
5. PRS when makes a 'margin call' to the client, shall clearly indicate the additional / deficient margin to be made good.
6. Whenever securities are liquidated by PRS, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
7. PRS shall close/terminate the account of the client forthwith upon receipt of request from the client subject to the condition that the client has paid the dues under MTF.
8. The Client may opt to terminate the MTF in the event of PRS committing any breach of any terms or conditions herein or for any other reason.

Mode of Communication

1. Accept all types communications including consent to the Terms and Conditions, order / trade confirmation, revision in margin, margin calls / decision to liquidate the position / security / collateral, Margin statements, margin policies on haircuts / VAR margin, Risk management policies, Rights & obligations, allowable exposure, specific Security exposure etc herein through email / SMS from his email id / mobile number registered with PRS or by online mode by logging-in on the website of PRS in a secured manner or by physical mode, based on client's preference.
2. Any communication done with any of the aforesaid means shall be deemed to have been received by the client.

Eligible Securities & Margin Required for MTF:

1. Securities specified under "MTF Approved Category List" by PRS from time to time which must be a part of 'Group I security' as per Exchanges /SEBI shall be eligible for MTF. PRS reserves the right to include or exclude any Securities from its "MTF Approved Category List" as per the discretion of Risk Management Committee without any prior intimation.
2. PRS reserves the right to transfer any of the trades done in the normal market in the "MTF Approved Category List" to MTF trades at its discretion.
3. The client shall deposit the following initial margin, in order to avail MTF:

Category of Stock	Applicable Margin
Group I stocks available for trading in the F & O Segment	VaR + 3 times of applicable ELM or PRS MTF VaR (whichever is higher)
Group I stocks other than F&O stocks	VaR + 5 times of applicable ELM or PRS MTF VaR (whichever is higher)

4. The Initial Margin payable by the client shall be in the form of cash, cash equivalent, or Group I Equity securities with appropriate hair cut. Where the margin is made available by way of securities, PRS is empowered to decline its acceptance of any securities as margin and/or to accept it at such reduced value as PRS may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as PRS may deem fit in its absolute discretion.
5. Applicable Margin on the securities purchased i.e. "Funded Securities" under MTF shall be computed by grossing applicable margin i.e. minimum initial margin plus maintenance margin, if any, on each security and accordingly shortage shall be computed by deducting available margin from gross margin. Collateral shares at PRS Collateral VaR and Funded Shares at PRS MTF VaR shall be marked to market daily for the purpose of computing the margin/shortage of margin.
6. PRS at its sole and absolute discretion may increase / revise the limit of initial margin and maintenance margin, minimum transaction amount from time to time, subject to SEBI / Exchange / PRS requirements in this respect. The Client shall abide by such revision, and where there is an upward revision of such margin amount, the client agrees to make up the revised margin immediately, not later than 3 working days from the day of margin call, failing which PRS may exercise its discretion / right to liquidate the Collaterals and / or Funded Securities immediately.
7. The Client shall maintain the Maintenance Margin (70% of the Initial Margin) with PRS at all the times.

Margin Call

1. If the Client is intimated about the Margin shortage through any of the mutually agreed mode of communication, then the client shall make good such deficiency in the amount of margin placed with PRS. Margin call will be made if Margin available falls below 70 % of the margin required.

Liquidation / Squaring-off of MTF Collaterals / Funded Securities by PRS

MTF Collaterals / Funded Securities of client may be liquidated / squared off immediately in case of any of the following situations/conditions, without any further notice / intimation and all the losses and financial charges on account of such liquidation shall be charged and borne by the client:

1. If the value of the Collaterals / Margin deposited by client with PRS to purchase Securities under MTF (Funded Securities), falls below the 60 % of the margin required;
2. If the shortage of the Maintenance margin (70 % of Margin required) continued for 3 trading days;
3. If the client fails to meet the margin call and margin shortage continued for 5 trading days from the day of margin call.
4. If any instrument for payment of Margin Money / Monies is / are dishonoured;
5. If the Client violates/breaches any provision of this Arrangement or provides any incorrect or misleading information;
6. If the Client has voluntarily or compulsorily become the subject of any proceedings under any bankruptcy or insolvency law or winding up or liquidation proceedings or has a receiver or liquidator appointed in respect of itself or its assets or makes an application or refers itself to any authority for being declared as a "sick company", relief undertaking, bankrupt or insolvent or seeking financial reconstruction or any other like scheme (by whatever name called) or is dissolved or there is a change in the constitution whether on account of the admission of a new partner or the retirement, death or insolvency of any partner or otherwise;
7. The death, lunacy or other disability of the Client;
8. If there is reasonable apprehension that the Client is unable to pay its outstanding dues or has admitted its inability to pay its dues, as they become payable;
9. If the Client is convicted under any criminal law in force;
10. If any Asset or any Security is seized or made subject to any distress, execution, attachment, injunction or other process order or proceeding or is detained or taken into custody for any reason;
11. Default under any other arrangement or facility with any Stock Broker is made by the Client;
12. There exists any other circumstance, which in the sole opinion of PRS, is prejudicial to the interests of PRS;
13. Order passed by any regulatory, courts, statutory bodies etc.

Charges

1. Brokerage, Statutory Charges and Other Charges will be charged as mutually agreed between the client & PRS within the prescribed limits as specified by SEBI / Exchanges.
2. All outstanding dues under MTF shall carry Interest upto 0.07% per day unless mutually agreed otherwise.
3. The dues, wherever mentioned herein, includes but not limited to outstanding balances, interest, statutory taxes, duties, charges, penalties etc in respect of MTF availed by the Client.

Settlement of MTF Account

1. Margin Trading Accounts where there was no transaction for 90 days shall be settled immediately provided there are no dues outstanding in the MTF account. Debit balance, if any, in the normal trading account shall be first adjusted against the MTF account and the remaining amount shall be paid to the Client.
2. Client's balances in any other segment / exchange can be adjusted / recovered against dues in MTF account.

Dispute Resolution

1. Client shall lodge protest or disagreement with any transaction done under MTF within 24 hours from the date of receipt of such document / statements / contract notes/ any other communications.
2. Any disputes arising between the client and PRS in connection with the MTF shall be resolved through the investor grievance redressal mechanism and/or arbitration mechanism of the stock exchanges as in the case of normal trades.

Termination of Relationship

1. Client may close / terminate the MTF account at any time after paying the dues.
2. The margin trading arrangement between PRS and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the MTF provided to PRS or PRS surrenders the facility or PRS ceases to be a member of the stock exchange.
3. The MTF facility may be withdrawn by PRS, in the event of client committing any breach of any terms or conditions therein or at any time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the MTF in the event of PRS committing any breach of any terms or conditions therein or for any other reason.
4. In the event of termination of this arrangement, the client shall forthwith settle the dues of PRS. PRS shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes PRS to make such adjustment.
5. After such adjustment, if any further amount is due from the client to PRS, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to PRS, PRS shall release the balance amount to the client.
6. If the client opts to terminate the MTF, PRS shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding (hereinafter referred to as MOU) is made and executed at Delhi on this.....day of....., 20..... between M/s. Pee Aar Securities Limited, a body corporate, incorporated under the provisions of the Companies Act, 1956, being a member of the National Stock Exchange of India Ltd., BSE Ltd. and having its Corporate Office at AG-20, Shalimar Bagh, Delhi-110088 [New Office : AG-5, Shalimar Bagh, Delhi-110088] (hereinafter called The Member / The Stock Broker) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its successors and assigns, as the case may be, of the one part; And

Mr./Ms./M/s _____ an individual / a Sole Proprietary concern/a Partnership Firm/an HUF / a Body Corporate or any other legal entity registered/ incorporated under the provisions of the relevant act, whose particulars are given in the Account Opening Form (hereinafter called "the Client") and having his/its office/registered office at _____

_____ which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them, the member or members for the time being of the Hindu Undivided Family (HUF) and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the other part;

The Member and Client are referred to hereinafter individually as a Party and collectively as Parties.

Whereas:

Signature 

- A) Client is desirous of availing services/facilities available with The Member.
- B) The Client finds that it is necessary to enter into this "MOU" to bring out clearly the scope of services to be rendered by The Member and responsibilities of Client and The Member respectively.
- C) The Member and Client enter into this "MOU" to reduce to writing, the understanding between Client and The Member agreeing to be bound by the terms and conditions as given hereunder in consideration of the mutual covenants contained herein and other good considerations sufficiency of which is hereby acknowledged by The Member as well as Client. Now, in view of the foregoing,

In this "MOU", unless the context otherwise requires:

- a) Words denoting the singular number shall include the plural and vice versa;

- b) The pronouns "he", "she", "it" and their cognate variations are used as interchangeable and should be interpreted in accordance with the context;
 - c) Words denoting a person shall include an individual, corporation, company, partnership, trust or other entity; provided however that clauses specifically applicable to a company or body corporate shall not apply to any other entity;
 - d) References to the word "include" or "including" shall be construed without limitation;
 - e) Reference to any party to this "MOU" or any other agreement or deed or other instrument shall include its successors or permitted assigns;
 - f) References to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this "MOU";
 - g) References to any enactment shall be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order, notification, circular or other provision made under it.
 - h) Security/ Securities shall unless repugnant to the context herein shall have the meaning assigned to these terms in the Securities Contracts (Regulation) Act, 1956 as amended and in force at the relevant time.
1. The Client assures The Member that he / she / it is eligible to enter into this "MOU" under the applicable laws. The Client shall continuously monitor his/ her/ its eligibility to act under the applicable laws including but not limited to Securities and Exchange Board of India (SEBI) Act and Regulations framed thereunder such as insider trading etc. Foreign Exchange Management Act (FEMA) and Regulations thereunder, Income Tax Act and any other act / law / rules and regulations in force. If at any time this assurance ceases to be applicable, Client shall refrain from dealing with The Member forthwith.
 2. The Client hereby acknowledges that he/she/it is aware that there exist certain regulations / restrictions etc. under Foreign Exchange Management Act and / or issued by Reserve Bank of India (RBI) regarding investment by foreign entities / persons including non resident Indians (NRIs). The Client hereby agrees to be solely responsible to make investments only as per applicable limits / regulations in force from time to time.
 3. The Client agrees to keep himself / herself / itself updated regarding the changes in the rules, regulations, bye laws of the stock exchange(s) & / or guidelines issued by SEBI and / or the requirements / procedures of The Member. The Client agrees that he/she/it shall keep a track of any & all Such changes by logging on to the respective websites of the exchange(s) (www.nseindia.com; www.mcx-sx.com; www.useindia.com) or SEBI (www.sebi.gov.in) or Pee Aar Securities Limited (www.peear.in, www.bseindia.com).

4. The Client shall ensure that he/she/it shall not deal through The Member on the stock exchange of which he/she/it is registered as a broker or a sub broker through any broker other than The Member except with the permission of exchange.
5. The Client agrees to ensure the he / she / it shall not act as a sub-broker / intermediary without getting registered under the provision of law in force.
6. Client understands and agrees that the relationship being established between The Member and Client whether under the agreement(s) already entered between The Member and Client or under this "MOU" is that Client shall be the principal and The Member shall be an agent to Client in the capacity of a broker. The Client shall from time to time place orders verbally (himself or acting through attorney / authorized person). The verbal orders can be placed over phone/ mobile phone and/or by visiting the branch to which the Client has been assigned/ attached by The Member. The order(s) shall be placed by Client only to designated / authorized dealer of The Member and to no one else. The order(s) given by the Client shall, provided same are received within market hours, with details necessary to punch the same in trading system, subject to availability of margin and/or trading limits be punched in the trading system. The Client agrees that it shall be sole responsibility of the Client to ascertain the status / results / hade of any orders given by him / her / it. The Client also understands and agrees that the word "Orders" includes the cancellation and modification orders as well.
7. The Client also acknowledges that The Member's employees / agents (whether dealer, relationship manger, sub broker or authorized person) are not authorized to give any assurances as regards returns / outcome of trading and / or providing any tyoe of discretionary services for trading etc. and The client agrees not to solicit or rely upon any advice from The Member's employees / agent. It is agreed and accepted by the client that in the event any such advice / discretionary management services are accepted by the client from any employee / agent (including sub broker / authorized person) of The Member, the same shall be unequivocally a personal, private arrangement between such person and the Client and The Member shall have no liability towards the Client for outcome including the losses if on any account on such discretionary or similar services accepted by the Client in contravention of these explicit written terms between The Member and the Client.
8. The Client agrees that mere entering into this "MOU" or any other agreement, does not entitle the Client to any service(s) / facility(ies) from The Member as a matter of right and The Member may in its absolute discretion provide or decide not to provide the any one or more service(s) / facility(ies).
9. The Client further accepts and acknowledges that he would observe proper caution and due diligence while giving orders lo the dealers / entering orders into trading platform provided by The Member. The client further agrees that he would not indulge in any trading activity resulting in the disturbance of the market equilibrium including manipulation of the price of any scrips / contracts, synchronized deals with any person or any kind of orders / trades which may be considered as inappropriate / unacceptable by The Member / the relevant exchange(s) / regulator(s). The Client acknowledges that The Member reserves the right to keep in abeyance the funds /securities as may be deemed fit by The Member depending upon the gravity of the violation or / and through trades done by/on behalf of the Client considered as inappropriate / unacceptable by The Member / the relevant exchange(s) / regulator(s). The client further understands and accepts that The Member also reserves the right to levy any penalty for such trades done by / on behalf of the Client considered as inappropriate / unacceptable by The Member / the relevant exchange(s) / regulator(s), as may be deemed fit by The Member / the relevant exchange(s) / regulator(s).
10. If the Client is enabled to access the trading system of The Member directly say through internet then Client is authorized to place orders directly as well. The Client agrees that any communication of orders in any form or manner whatsoever to The Member or by entering orders into a facility provided by The Member such as internet etc. neither implies order's(s)' acceptance nor assures a trade from such order(s) and the Client is also aware that any deliveries of securities / payout of monies on account of trades is subject to settlement process being successful particularly for trades which are matched within the clients of The Member and the Client hereby agrees not to hold The Member responsible in any manner whatsoever for any delay in settlement which are beyond reasonable control of The Member.
11. The Client agrees and acknowledges that The Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment and as such all investment and disinvestment decisions are based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information that may be made available by The Member including that on the website / trading platform / through SMS etc. The Client will not hold nor seek to hold The Member or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses or other losses, costs or damage incurred by the Client consequent upon relying on information, research opinions or advice or any other information whatsoever including that on the website whether put

up by The Member or any other agency. The Member does not represent and shall not be deemed to have represented, that the investment information is accurate or complete. The Client is aware that any information based on the research of The Member or other external sources is merely an estimation of the viability or otherwise of certain investments, and The Member shall not be deemed to have assumed any responsibility for such information. The Client should seek independent professional advice regarding the suitability of any investment decision. The Client also acknowledges that The Member's employees / agents are not authorized to give any such advice and that the Client will not solicitor rely upon any such advice from The Member or any of its employees / agents.

12. The Client agrees and acknowledges that trading over telecom networks involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions, malfunctioning and dislocations etc. The Member does not make any representation or warranty about uninterrupted trading facility and as such, under no circumstances shall The Member or anyone involved in creating, producing, delivering or managing The Member's services be liable for any direct, incidental, special or consequential damages that may result from the use of or inability to use the service, delay in transmission of any communication, in any case for any reason whatsoever (including on account of breakdown in systems) or due to any fraud committed by any person whether in the employment of The Member or otherwise.
13. The Client agrees that The Member does not guarantee and shall not be deemed to have guaranteed the timeliness, sequence, accuracy, completeness, reliability or content of the market information or messages disseminated to the Client. The Member shall not be liable for any inaccuracy, error or delay in, or omissions of any such data, information or messages, due either to any act or omission by The Member or to any "force majeure" event (e.g. Flood, extraordinary weather condition, earthquake or any other act of God, fire, war, insurrection, riot, labour dispute, accident, action of government, communication, power failure, shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction); any fraud committed by any person whether in the employment of The Member or otherwise or any other cause which is beyond the reasonable control of The Member.
14. The Client hereby authorizes The Member to take all such steps on the Client's behalf as may be required or advisable in The Member's opinion for compliance with the exchange provisions or any other law or provisions or to complete or settle any transactions entered into through or with The Member or executed by The Member on behalf of the Client.

However, nothing contained herein shall oblige The Member to take such steps.

15. The Member / service provider may require the Client to use such security measures as deemed fit including but not limited to security codes / passwords / customer user identification number / telephone personal identification number (t-pin) / digital signatures / smart cards etc' hereinafter collectively referred to as "security protocols", before accepting any orders & / or for permitting access to the systems / services / facilities made available by The Member / service provider. The Client agrees to change, wherever possible, such "security protocols" immediately on their receipt and periodically thereafter also. It shall be the responsibility of the Client using any online trading platform provided by The Member to completely log out rather than close/exit the browser/trading application window, The Member shall not be responsible or liable for any unauthorized trade and/or leakage/hacking of the Client's personal details and/or financial information available on the trading platform should the Client be negligent in adhering to the same. The Client agrees, accepts and undertakes the sole responsibility for the usage, confidentiality, protection and secrecy of all such "security protocols". The Client unconditionally agrees that he / she / it shall be solely responsible for any / all uses of "security protocols" whether for accessing data / information or for giving orders / dealings. The Client agrees to bear any losses / damages which may be caused by any use of or non use of "security protocols" and it shall be no defense that such access to data / information & / or the orders / deals were made through unauthorized use of "security protocols" by any person by whatever means including hacking, theft, forgery / electronic forgery or any other mode or manner. Notwithstanding anything stated herein above, on coming to know of any unauthorized access / use of any "Security Protocols" it shall be the duty of the Client to take all necessary steps including but not limited to informing The Member in writing with full details of the same and ensuring that such breach, loss of passwords / security protocols and / or confidentiality are immediately stopped. The Member reserves right to suspend the client account/reject the orders in case of any misuse identified / wrong credential provided / any doubt on the person / manner providing the orders for and on behalf of client in the interest of safeguarding client's monies and to avoid frauds.
16. The Client hereby agrees to use the facilities, data and information which is provided by The Member or which may become available to the Client as a result of client's relationship with The Member purely for the purposes permitted by The Member and only for the personal use and agrees never to disseminate any information or data for any reason or purposes whatsoever except under a written authority signed by a director of "The Member". It is agreed by Client that all

intellectual properties (IP) in any such information / data shall remain with The Member and / or stock exchange and /or relevant service / information provider and Client shall not remove any IP markers etc. from any documents/ information received.

17. The Client hereby agrees that The Member may communicate/ send information to the Client like order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements, trading / settlement cycles, delivery / payment schedules, policies, procedures, notices, frequently asked questions (FAQs) and any other documents / reports, using any or more of the following means or methods such as post / speed post / courier / registered post / registered post acknowledgment due / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the Client's computer; by informing the Client through employees / agents of The Member, by publishing / displaying it on the website of The Member / making it available as a download from the website of The Member; by displaying it on the notice board of the branch / office through which the Client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The Client agrees that the postal department / the courier company /newspaper company and the email/ voice mail service provider and such other service providers shall be the agent of the Client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail /voice mail service provider / SMS, etc. by The Member and the Client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever.
18. Client understands that for performing the acts contemplated under this relationship/ "MOU" The Member has to use softwares and hardwares / machines etc. Client understand that as regards trading, the softwares/ programmes of stock exchanges are used with additional softwares permitted by stock exchanges such as (without limitation and as illustration) ODIN DIET Client, Net. Net, NOW Online, FASRADE, etc. While stock exchanges take all care to have fullproof softwares/programmes and additional softwares/programmes such as ODIN DIET Client, Net.Net, NOW Online, FASRADE, etc. are preapproved by stock exchanges no warranty /guarantee is taken either by the vendors/suppliers of any these softwares/ programmes of their fullproof/glitch/bug free performance always. Their operations can also be effected due to software viruses etc. which may interalia lead to disruption in

trading / order entry and/or false/incorrect display of order/trade status including but not limited to display of trade confirmation etc. when actually trade has not occurred or has occurred contrary to display. Therefore Client shall be duty bound to act with all 3reasonable caution and not to trade where there are reasonable grounds to believe that the trading system is not operating normally including situations where usual limits applicable as per the margin availability / quantity limits on order are either not operational or are out of sync with clients own margin and quantity limits. Any acts against the covenant by client shall make client liable for criminal prosecution apart from claims of damages and other losses by The Member and / or the insurer of The Member. Further, The Member is authorized but not obliged to have system / software/ human controls to ensure Client Trades / places orders with adequate margin, however the responsibility to trade / place orders within bound of margin limits shall always be of "the Client" and it shall be open to Client to trade / place orders within bounds of margin limits and it shall not be open to Client to trade/ place orders where it is reasonably clear that the restrictions if any by The Member are not active / or are malfunctioning. Where Client does trade in contravention of this covenant, Client shall be liable for criminal prosecution apart from the claims of damages and other losses by the Member and / or the insurer of The Member. Given aforementioned possibilities of system / software/ human errors, the Client agrees that display or printout of any transactions taken out from any system / computer at the time of order entry or instructions entry or thereafter, including but not limited to net banking and/or electronic transfer of securities in depository etc., shall not be construed as the official record of the transactions/orders. The Member's or service providers' (such as bank's/stock exchanges/clearing house / clearing corporation/depository participant / depository) final official record of transaction maintained in their own books of accounts or electronic systems shall only be the acceptable records and shall be conclusive and binding for all purposes (such as clearing file of stock exchanges etc.). The Client agrees that this is without prejudice to the right of The Member/service provider to rectify any discrepancy / differences which is due to any inadvertent human error/ system/ computer error etc., at any time without limitation, at the sole and absolute discretion of The Member and /or any of the service providers.

19. The Client agrees to use, such facilities/arrangement with banks /depository participants for making or receiving payment of funds/monies and/or securities, as may be prescribed by The Member in its absolutely discretion including but not limited to online or offline facilities of one or more banks or depositories and Client hereby agrees not to hold The Member responsible for any losses or damage which may be suffered by the

Client by use of any such prescribed facilities.

20. The Client agrees that The Member or any service provider such as banks etc., may from time to time prescribe particular softwares (including but not limited to browsers, operating systems, TCP/IP protocols etc.) / devices / equipments etc. and the Client agrees that such softwares / devices / equipments may need to be changed / upgraded to newer versions and this may require the Client to suitably reinstall/ uninstall/ upgrade the said facilities / device / equipments etc. at its end. Such changes may involve disruption in trading / communication of orders and may even lead to losses and the Client hereby unconditionally and absolutely agrees not to hold The Member or service providers or depositories responsible on any account. All costs / charges /levies and fees incurred by the Client for the said services shall be borne exclusively by the Client alone.
21. The Client hereby authorizes The Member in its absolute discretion to maintain records / books of accounts for the Client separately or collectively for different exchanges / segments of the exchanges & / or any other service which the Client may be availing such as Depository Services etc. It shall be the sole responsibility of the Client to ascertain the balance of securities & /or funds in all the accounts separately and the Client shall be required to pay / make available necessary money / funds and / or securities into anyone or more such segregated / aggregated account(s) not-with-standing the fact that an aggregation of the accounts may not require from the Client either any securities and / or money/ funds and the Client hereby agrees not to hold The Member responsible for considering shortage of margin / security & / or shortage of pay in obligations in any account, without aggregating / summing such account with other accounts.
22. Client agrees that any loss due to any erroneous order entry / erroneous order modification shall be entertained by The Member only to the extent of insurance claim received.
23. The Client hereby agrees to use the facilities, data and information which is provided by The Member or which may become available to the Client as a result of Client's relationship with The Member purely for purposes permitted by The Member and only for personal use and agrees never to disseminate any information or data for any reason or purposes whatsoever except under a written authority signed by a director of The Member.
24. The Client hereby agrees and declares that he / she / it has fully assessed and accepted the risks involved in using the services/ facilities including but not limited to internet based services such as but not limited to misuse of passwords, internet frauds, technology risks etc., and agrees not to hold The Member and any / all service providers responsible for any damages, losses or negative consequences which Client may suffer in any manner whatsoever.
25. Client agrees to The Member tape-recording the conversations between Client / Client's representative and The Member's officers/ employees/agents etc. in its absolute discretion, either personally or over the telephone. Such recordings may be relied upon by The Member as and when required, and the Client agrees not to challenge the evidentiary value of such recordings.
26. Client wants to make investments in mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s) etc. and generally to invest in various avenues / products and to redeem/liquidate any investments and wants The Member to give effect to desires/ requirements of Client by giving orders/instructions (electronic/physical/verbal) for the same and to sign any documents and / or do any and all act(s) as may be required or are deemed necessary in opinion of The Member for these purposes from time to time. In view of the foregoing, Client authorizes The Member to share Client's personal and other information with other parties including The Member's group / related entities so as to receive offers and information on various product / services etc. and agrees that any offers / information received shall not be contested on grounds of addresses / phone included in national "do not call registry" or any other such restrictive regulations/laws.
27. In case Client has made any purchase of securities and the delivery of the same falls short inter-Client at the broker level, Client hereby authorize The Member to make purchases of the same in the market to make available the delivery of the said securities to Client.
28. In case Client has made any sale of securities and due to any exigencies Client is unable to make available the delivery of the same in the designated account within the designated time and it is an inter Client delivery at broker level, Client hereby authorizes The Member to make purchases of the same in the market on Client's behalf to make available the delivery of the said securities to the opposite party.
29. Client hereby authorizes The Member to debit Client's account with depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement professional charges (as may be applicable to NRIs), research service/message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments, etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.

30. The Client hereby authorizes The Member to maintain books of accounts on combined ledger principle i.e. to say collectively for all segments of all exchanges and any other exchanges and any other segment or service for which "the Client" has an arrangement to deal through / with The Member. However, The Member shall be within its rights to demand sums due separately for any specific agreement and / or exchange if it so deems fit in its absolute discretion.
31. Client agrees that The Member shall be entitled to further pledge and / or deposit shares / stocks (securities)/ funds (monies) and any other collateral such as fixed deposit receipts / gold / real estate etc. of "the Client" which may be available to The Member Inter-alia on account of the same having been deposited by the Client as collateral / margin and / or lying with The Member on account of maintenance of running account for "the Client". Such Pledge / deposit may be made by The Member from time to time with any exchange(s)/ clearing corporation / clearing house/ any other person in its absolute discretion and " the Stock Broker" may raise funds / obtain bank guarantees / fixed deposits receipts against such stocks/shares(securities) from time to time.
32. Client hereby authorizes Pee Aar Securities to set-off / appropriate / adjust a part or whole of the monies / credit balances in ledger and / or securities (shares/stocks etc) and / or Margin lying as credit / debit in Client's account against any dues / debit balances in ledger including but not limited to dues by way of shortfall in Margin, in any of Client's Family members' and / or any of Client's Group / Associate companies/ firms/ entities' accounts. The words / expressions "Client", "Margin", "Family" as used herein, shall, unless repugnant to the context, have the meaning as assigned hereunder:
- Client - shall mean and include where context so requires non-natural person(s) / entity (ies) such as companies, firms, association of persons and trusts etc.
 - Margin - without limiting the meaning and scope of word "Margin" it shall include all monies and / or securities (shares and stocks etc.) and / or any other movable and immovable property which may serve as collateral/ security for dealing(s) in shares/ stocks/ futures & options contracts / other type of derivative contracts including currency derivatives.
 - Family - without limiting the meaning and scope of word 'Family', it shall mean and include the spouse, all ascendants, descendants, brothers and sisters of Client (constituent) and all members of Client's (constituent)'s Hindu Undivided Family (HUF), all dependents of Client (constituent) and their spouse and children and such other persons who live in the same household/ residential address as that of Client (constituent).
 - Group / Associate companies/ firms/ entities without limiting the meaning and scope of words "Group/ Associate companies /firms/ entities" / these shall mean and include all such companies/ firms/ entities which are either Controlled by / or Control the Client and shall include all companies/ firms/ entities which are under common Control as that of the Client including those which control/ are controlled by spouse of the Client.
- e) Control- without limiting the meaning and scope of word 'Control' it shall include the meaning given to it under the Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 1997, as amended and in force.
33. In connection with this "MOU", as well as all transactions contemplated under this "MOU" as offered by The Member from time to time, the Client agrees to execute and deliver documents titled "authorizations" and to perform such additional actions which may be necessary, appropriate or requested to carry out or evidence the transactions in respect of the services availed by the Client from time to time. All the terms of this "MOU" shall be read as part and parcel of authorizations.
34. The Client hereby declares that all information which have been provided, are being provided and which shall be provided by the Client to The Member or any service provider under this "MOU" or in relation thereof or as consequences thereof is and shall always be true to the best of information and knowledge of the Client.
35. The Client expressly agrees that his /her/ its utilization of a service / facility such as but not limited to advisory services, any other activity for and on the behalf of the Client or any other transaction which The Member undertakes with or for the Client, shall also be covered by the terms & conditions of this "MOU".
36. The Client agrees that all monies, securities or other property which The Member may hold on Client's account shall be held subject to a general lien for the discharge of Client's obligations to The Member. Client further agrees neither to close bank and depository accounts nor to mark any lien / pledge on the securities and / or monies lying in such accounts which are linked to his trading account till such time that his account is fully settled with "the Stock Exchange" for all the obligations.
37. The Client also acknowledges that The Member's employees / agents (whether dealer, relationship manger, sub broker or authorized person) are not authorized to accepts any cash from any person and if client provides cash to any person then in that event The Member shall in no way be responsible and the relationship of Client with any such person including with any dealer, relationship manager, sub-broker or authorized person shall be a personal, mutual and private relationship between the Client and such person(S) and Client shall have no recourse / right against The Member. The Client

acknowledges that all the payments to The Member shall be made by the Client through cheques / Demand Draft or any other instrument drawn in favor of The Member. The Client also understands that while making payments through Demand Drafts the Client is bound to declare in writing to The Member the source of such demand draft and the Client will always make true and correct declaration. The Client, without prejudice to the legal rights available to The Member, also indemnifies The Member from any third party claim which may arise on account of payment made by the Client through such Demand Draft / Cheque to The Member.

38. The Client agrees and accepts that he shall never leave / entrust blank Delivery Instruction Slip (also known as DIS) pertaining to his depository account to any employee / agent (including sub-broker/ authorized person) of the The Member. The Client agrees that even if he does so, the same shall be unequivocally a personal, private arrangement between such person and the Client and The Member shall have no liability towards the Client for outcome including losses, if any on account of such entrustment / leaving of blank Delivery Instructions Slips (also known as DIS) by the Client in contravention of this explicit written term between The Member and the Client.
39. The Member sends through post, courier, government post, disseminates through web site the pay-in / pay out and other obligations relating to Client trading and other relevant information. The Client agrees that it is his /her / its responsibility to review any / all information communicated including but not limited to order placement, order confirmations, order modifications, order executions, trade confirmations, trade modifications, bills, transaction statements, account statements, margin requirements etc. communicated to the Client by any of the aforesaid means or mode whatsoever, immediately on their receipt and take necessary action. If the Client does not revert with objections within 48 hours of issuance of information to him, the same shall be deemed accepted by the Client. Client further agrees that due to above regular dissemination / dispatch of information, the Client shall be knowing the quantum of funds / securities etc. which should be received by him in regular course of trading etc. Therefore where Client comes in possession of assets of The Member (including those of any third party such as bank / other clients) which do not appear to belong to him, (whether due to system, software / hardware and / or human failure / fraudulent acts) the same shall be held by the Client in trust and returned suomoto to The Member. Any actions by Client in contravention of this covenant shall make Client liable for criminal prosecution apart from Claims for damages and other losses by The Member and / or the insurer of The Member and / or third parties affected by acts of the Client.
40. The Client hereby agrees that it is the sole responsibility of the Client to know the status/ declaration of all corporate benefits including but not limited to Rights Issue, Bonus Issue, Dividends and Stock Split of Shares/ Buy Back, etc, announced by Issuer Company from time to time, for securities of company(ies) in which Client intends to trade and/ or those which are kept by Client with The Member for ease of dealing/ margin/ collateral security etc. and make appropriate trading/dealing decisions by appropriately considering the impact of any corporate action(s). The Member is not required to act as an advisor to Client in any of these matters/ aspects. It is the Clients sole responsibility to track announcements of such corporate benefits and The Member shall not be liable for any losses suffered by Client, if Client fails to apply to such corporate benefits for the shares held by The Member in beneficiary account on behalf of Client. Client may be keeping securities with The Member for ease of payment for ease of dealing / consideration as margin / security / collateral etc. Client understands that some corporate benefits will be passed onto the relevant account of The Member by issuer company(ies). It is understood and agreed that these corporate benefits will continue to remain with The Member unless a request (to be binding upon The Member only if evidenced by a photocopy/carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) is made by Client for transfer the same to Client's own account. The transfer by The Member shall not be immediate but take reasonable time, subject to there being no pay - in obligations/ margin obligations/collateral obligations needed to be fulfilled by corporate benefits received. Further, where Client is keeping securities with The Member for ease of dealing for consideration as margin/security/collateral etc., Client understands that some corporate benefits will require some action for obtaining the same, such as for rights issue etc. It is understood and agreed that Client shall free the securities from any margin/collateral/security/ pay -in obligations and get them moved through request (to be binding upon The Member only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) given well in advance to Client's own beneficiary account and take necessary action for applying and/or receiving corporate benefits. In exceptional circumstances p may upon request (to be binding upon p only if evidenced by a photocopy/ carbon copy of such request duly receipted by manager and one more officer of relevant branch with stamp) given well in advance take actions for and on behalf of Client to / apply and / or receive such corporate benefits such as for Right Issue/Open Offer/Buy Back for the shares held by The Member on behalf of client (subject to Client making available free funds etc. for the same well in advance). However The Member shall not be liable for any loss/claim whatsoever in the event

such application is rejected by Registrar /Company /Manager to the Issue for any reason.

41. The Client agrees that this MOU and agreements etc. preceding or succeeding it are non-assignable without prior written approval of The Member.
42. This MOU and any preceding and / or succeeding agreements / documents shall not be affected by Client's death, dissolution and/or winding-up and its / his / her their estate, effects heirs, executors, administrators and legal representatives will continue to be liable for full payment of all the moneys payable and/or due to The Member.
43. The Member may grant / transfer to any person / bank / financial institution, for any purpose whatsoever, any of its rights under this "MOU" or under any preceding or succeeding agreements/writings etc. including the right to any amounts receivable by The Member or any other rights and The Member may grant/ transfer such rights by way of sale or as a charge or as a security and any person to whom such rights are granted / transferred shall be entitled to the full benefit of such rights

44. EVENTS OF DEFAULT AND TERMINATION

Each of the following events is, and shall be deemed to constitute, an "Event of Default".

- a) If the Client defaults in the payment of any obligations as and when they become payable;
- b) If the Client does not maintain the Margin at the prescribed levels;
- c) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- d) If the Client has voluntarily or compulsorily become the subject of proceeding under any bankruptcy or insolvency law or being a company, goes into liquidation or has receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- e) If the Client being a partnership firm, has any steps taken for dissolution of the partnership;
- f) On the death/lunacy or other disability of the Client.
- g) If there is reasonable apprehension that "the Client" is unable to pay its debts or "the Client" has admitted its inability to pay its dues, as they become payable;
- h) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the The Member;
- i) If there is any commencement of a legal process against the Client under any law in force;
- j) If the Client has taken or suffered to be taken any action for its reorganization, liquidation or dissolution;

- k) 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;
 - l) If the Client is in breach of any term, condition or covenant of this MOU or any preceding or succeeding agreements with Stock Broker;
 - m) If any covenant or warranty of the Client is incorrect or untrue in any material respect;
 - n) If the Client creates any encumbrance over the securities placed as margin, or otherwise takes any action towards creation of such encumbrance over the securities placed as margin;
 - o) If the title of the Client to the securities placed as margin is in jeopardy or if there is an attachment or lien against the securities placed as margin;
 - p) If the Client acts /or desists from acting in any manner which will jeopardize the securities placed as margin or the powers vested in "the Stock Broker" under the Power of Attorney from being exercised by "the Stock Broker" (acting through its authorized representative);
 - q) There exists any other circumstance, which in the sole opinion of "The Member" is prejudicial in the interest of "The Member"; and
 - r) If an event of default has occurred under any other agreement entered into by the Client.
 - s) If the action of the Client are prima facie illegal/improper (including, without limitations, misbehavior, threat to person / property of stock broker or its employees, entry in to stock brokers premises in intoxicated state) such as to manipulate the price of any securities or disturb the normal, proper functioning of market, either alone or in conjunction with others.
 - t) If, in the opinion of The Member the Client has committed, assisted, abetted crime / fraud or / is likely to evade/ violate or assist or abet violation/evasion of any laws rules, regulations, directions of a lawful authority whether Indian or foreign or if The Member so apprehends, The Member shall have the right to suspend or terminate the MOU and all other preceding and succeeding agreement with "the Client" without notice during suspension all trading and other services to Client shall remain suspended.
 - u) If any Event of Default has occurred or is continuing, The Member shall have the right to suspend or terminate the MOU and all other preceding and succeeding agreement with "the Client" without notice during suspension all trading and other services to Client shall remain suspended.
45. The Client agrees that the failure of The Member to enforce at any time any terms contained in this "MOU" shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.
 46. Except where the rules/bye-laws of SEBI / Concerned

Exchange provide otherwise, **the Parties agree to exclusive jurisdiction of courts of law at Delhi.**

47. If any provisions of this "MOU" are held invalid or unenforceable by reason of any law, rule, administrative order or judicial decision by any court, or regulatory or self regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms shall not be

affected thereby and these terms shall be carried out as if any such invalid / unenforceable provisions or terms were not contained herein.

The Client confirms having read and accepted the terms and conditions of this document titled as "Memorandum of Understanding: inter-alia comprising citation and clauses 1 to 47 and accepts and agrees to be bound by all of them including those excluding/limiting Member's liabilities.

The Client confirms having read and accepted the terms and conditions of this document titled as "Memorandum of Understanding: inter-alia comprising citation and clauses 1 to 47 and accepts and agrees to be bound by all of them including those excluding/limiting Member's liabilities.

IN WITNESS thereof the parties of the Contract have caused these presents to be executed as of the day and year first above written.

Signed and Delivered by

Client- Name and Signature

Client Name | _____ |

Signature |  _____ |

WITNESS : Name and Signature (on behalf of Client)

1st Witness

Name | _____ |

Signature |  _____ |

Address | _____ |

| _____ |

| _____ | PIN Code | _____ |

2nd Witness

Name | _____ |

Signature |  _____ |

Address | _____ |

| _____ |

| _____ | PIN Code | _____ |

Place | _____ | Date | | | - | | - | | | | |

Signed and Delivered by

Pee Aar Securities Ltd.

| _____ |

Authorised Signatory

WITNESS : Name and Signature (on behalf of Member)

1st Witness

Name | _____ |

Signature |  _____ |

Address | _____ |

| _____ |

| _____ | PIN Code | _____ |

2nd Witness

Name | _____ |

Signature |  _____ |

Address | _____ |

| _____ |

| _____ | PIN Code | _____ |

Place | _____ | Date | | | - | | - | | | | |

Note: All references to the specific quantity / rate / fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES / SMS ALERTS

To,

Pee Aar Securities Limited

AG-20, Shalimar Bagh, Delhi 110088, **NewAddress : AG-5, Shalimar Bagh, Delhi 110088**

Dear Sir,

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segments / Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you. As my / our broker i.e. agent I / We direct and authorize you to carry out trading /dealings on my / our behalf as per instructions given below. I/ We understand that, I / we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/ we hereby opt for receipt of contract notes in electronic form. I/ We hereby also give my/ our consent for providing me/ us Trade Confirmations through your SMS alert services. Accordingly, please note my current email id and Mobile Number on your record for sending the communication to me / us.

E-mail Id (1) | _____
| _____ | Mobile No. (1) | _____

E-mail Id (2) | _____
| _____ | Mobile No. (2) | _____

E-mail Id (3) | _____
| _____ | Mobile No. (3) | _____

I/ We agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I/ we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt/ delayed receipt for any reason whatsoever. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) / email id(s). I/ We understand that SMS Alert service is purely a voluntary facility provided by you to us and it shall be my/our responsibility to check the data with the actual contract notes/financial ledger given by you. The messages flashed shall be merely reminders for my/ our convenience and I/ We agree not to hold you liable for any incompleteness/ inaccuracies in the messages sent and that I/ We shall take all our actions based on the normal confirmations received by me/us.

In case , in any of the above segments / exchanges due to any reason, whatsoever, if you want to send contract notes in physical form, I / we hereby permit you to send the same in physical mode.

I/We understand that I am required to intimate any change in the email id/ mobile number mentioned herein above needs to be communicated by me through a duly signed request letter in original to you, provided however that if I/we am/are an internet client then in that event the request for change in email id/ email account can be made by me/ us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions /authorizations given and carried out by you earlier. 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,

Signature |  _____

Client Name | _____

Date | | | - | | | - | | | |

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

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 nonexecution 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.

Signature  _____

Client Name _____

Date | | - | | - | | |

DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF

To,

Pee Aar Securities Limited

AG-20, Shalimar Bagh, Delhi 110088

New Address : AG-5, Shalimar Bagh, Delhi 110088

Dear Sir,

I, _____ s/o/w/o/d/o _____
_____, refer to my Trading Account with PEE AAR SECURITIES LIMITED and do hereby affirm,
declare and undertake that; _____

1. That my name as it appear on my trading account is _____
2. That my name as it appears on my demat account is _____
3. That my name as it appears on the Income Tax website is _____
4. That my name as it appears on the Address proof is _____
5. That my name as it appears on my Pan Card is _____
6. That my name as it appears on the Bank Proof is _____
7. That above mentioned names, on Trading account, Demat account, Tax website, Address proof, PAN Card No. and Bank Account bearing no. _____ are mine alone.
8. That I hereby request you to maintain my name in Demat and Trading account as per the name appearing on the Income Tax website / PAN card.
9. That I promise and undertake to get my PAN card altered in accordance with my name as appearing on the Income tax website within 45 days from the date of signing this undertaking. You may, at your sole discretion, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
10. That I further undertake to open a bank account in accordance with the name as appearing on the Income Tax website within 4 weeks from the date of signing this undertaking.
11. I further undertake that in case my name is changed after approval from government authorities and/or gazette notification, I shall get the name change effected in PAN, Bank account etc. and furnish the proof immediately to you.
12. That I further declare that I am responsible and I hereby indemnify & keep indemnified Pee Aar Securities Ltd., its directors, officers, employees, agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgments, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out Declaration-cumundertaking and/or acting on this basis.

That the contents of this declaration, Indemnity-cum-undertaking have been explained to me in vernacular and I have understood before signing it. That this declaration, Indemnity-cum-undertaking given by me to you is by my absolute free will and without any coercion, undue influence, pressure etc., and at present I am having sound health and mind.

Thanking you,

Signature  _____

Client Name _____

Date | | | - | | | - | | | |

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

OTHER INSTRUCTIONS AND AUTHORIZATIONS

To,
Pee Aar Securities Limited
AG-20, Shalimar Bagh, Delhi 110088
NewAddress : AG-5, Shalimar Bagh, Delhi 110088

Dear Sir,

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments, I / we further authorize you to follow this instruction across exchanges & across segments in which I / we have already opened accounts with you or I may open account in future. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below:

RUNNING ACCOUNT INSTRUCTION

I/am/We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which we cannot deal/trade.

Therefore I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, the funds and securities can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading. You are authorized to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you.

In the event I/we have outstanding obligations 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. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (register of securities) displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your corporate office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorization at any time, however, such termination shall be subject to notice period of fifteen days from the date of physical delivery of revocation letter at your registered office to allow you to make necessary changes to handle my account without running account authorization. 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 and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies under this agreement.

My/Our preference for actual settlement of funds and securities is at least:

Once in a Calendar Quarter Once in a Calendar Month

INSTRUCTIONS FOR ACCEPTANCE OF VERBAL ORDERS:

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 / my authorized representative's verbal instructions for order Placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I We understand the risk associated with verbal orders and accept the same, and agree that I/we agree that I/we will not have the right to shift the burden of proof by asking you to prove the placement 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.

INSTRUCTION REGARDING SALE/DISPOSAL OF SECURITIES:

I/We understand that in case, of my/our failure to make the funds pay in or delivery of securities for my/our deals/trading by designated day, you are entitled to sell off in the market the securities received in pay out and/or deem our position closed out at applicable rates;

Or

I/We do hereby request you not to carry out such sell off in the market the securities received in pay out and/or deem my/our positions closed out and I/We shall in consideration thereof shall pay the opportunity cost/interest on such non sold off securities and/or non closed out position without demur or protest at such opportunity cost and/or interest as you shall determine entirely at your discretion.

I/We do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction.

PLEDGE AUTHORIZATION

I/We direct and authorize you to pledge/deposit my/our securities whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any person(s) including but not limited to anyone or more bank(s) and/or stock exchange(s) and/or clearing corporation(s)/ clearing house(s) or any other person. You may at your absolute discretion raise funds, obtain bank guarantee(s) and FDRs etc. against such deposit/pledge. I/We authorize you to do in my/our behalf all such acts, deeds and things as may be necessary and expedient for placing pledging / depositing my/our securities with a person of your choice. If for any reason the pledge sells/liquidates these securities I/We shall not dispute or contest the acts of pledge in any manner what so ever. Please treat this authorization as written ratification of my/our verbal directions/ authorizations given and carried out by you earlier. 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.

STANDING INSTRUCTION

Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.


I/we hereby authorize you to maintain records/books of accounts for me/us collectively for different exchanges/segments of the exchanges and / or any other service which I/we Client may be availing.

INSTRUCTIONS REGARDING DP CHARGES TO BE DEBITTED TO MY ACCOUNT:

As my Broker, i.e. agent, I/We authorize you to debit my/our account against the charges raised by you on account of Depository Services Provided by you and by on _____ account of Depository Services Provided by them and bill raised by them in this regard, The details of Demat account(s) are as follows:

DEPOSITORY	DEPOSITORY PARTICIPANT	BENEFICIARY ACCOUNT
NSDL / CDSL		
NSDL / CDSL		
NSDL / CDSL		
NSDL / CDSL		

Thanking you,
Yours faithfully,

Signature  Client Name _____

Date

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

 Place _____

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

THIRD PARTY AUTHORIZATION

To,

Pee Aar Securities Limited

AG-20, Shalimar Bagh, Delhi 110088

New Address : AG-5, Shalimar Bagh, Delhi 110088

Dear Sir,

I have been/shall be dealing through you as my broker i.e. agent on the Cash Segment and/or Futures & Options Segments/ Currency Derivatives Segment at NSE / BSE.

I/we authorize Mr. /Ms. _____ R/o _____

_____ deal/transact on my/our behalf and to place orders, give instructions, make & receive payments of securities and monies, collect contract note bills, order confirmations, trade confirmations, account statements and any other documents or communication. Mr./Ms. _____ is also authorized by me/us to sign any document, settle the account, enter into any compromise and to do any and all acts (s) on my/our behalf which I/we can do. And I/we the undersigned do hereby agree and declare and confirm that all acts and things done by him/her substitute shall be my/our act, deeds and things validity done by me/us to all intents and purposes.

Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

I/we agree to indemnify you and keep your indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our authorization given above.

Thanking you

Yours faithfully,

Signature

Client Name

Date

____ - ____ - ____

Place

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

ACKNOWLEDGMENT

To,

Pee Aar Securities Limited

AG-20, Shalimar Bagh, Delhi 110088, New Address : AG-5, Shalimar Bagh, Delhi 110088

I/We _____ hereby confirm that I/We have received the Account Opening Kit including documents prescribed by SEBI and described as "Rights and Obligations", "Risk Disclosure Documents (RDD)" and "Guidance Note". I/We also confirm that I/We have received my/our unique client code.

Thanking You

Yours faithfully,

Signature

(If partner, Corporate or other Signatory then attest with firm / company seal)

Client Name

Date

____ - ____ - ____

Place

REQUEST LETTER FOR STATEMENTS

To,
Pee Aar Securities Limited
AG-20, Shalimar Bagh, Delhi 110088,
Dear Sirs,

Date : ____/____/____

New Address : AG-5, Shalimar Bagh, Delhi 110088

SUB: REQUEST TO PROVIDE THE STATEMENTS THROUGH E-MAIL AND/OR WEBSITE.

Client id.: _____ E-mail id. _____

You are hereby requested to provide me/us transaction statement(s)/bills or any other document(s) required to be sent to me under my specific request or as per the statutory requirement(s) through e-mail and/or website.

I/We am/are aware and understand the following: -

1. I/We am/are aware that I/we will not receive the transaction statements/bills etc. in paper form.
2. I/We understand that website(s) would mean www.peear.in and or any of it's pages/links/applets or any other website that Pee Aar Securities Limited may inform from time to time.
3. I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the DP back office /email account.
4. I/We am/are aware that the transaction statement/bills etc. may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
5. I/We shall immediately inform Pee Aar Securities Limited about change in email address, if any.
6. I/we agree that till the time the change in email address is not updated in the records of Pee Aar Securities Limited, the statements/bills etc. sent to the original email address shall deem to be a valid delivery and I/we shall keep Pee Aar Securities Limited and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
7. I/We shall log off from website/DP back office/e-mail service, whenever I/we am/are not accessing or using the service. Any liability incurred to the me/ us as a consequence of the not logging off the service shall be borne solely by me/us.
8. I/we agree that Pee Aar Securities Limited shall not take cognizance of out-of-office/out-of-station auto replies and I/we am/are deemed to have received above referred documents. Non-receipt of bounced mail notification by Pee Aar Securities Limited shall amount to delivery of the above referred documents at the email id provided by me/us.
9. I/we agree that I/we shall immediately notify Pee Aar Securities Limited in writing with full details if I/we discover or suspect, unauthorized access through my/our DP back office password or Notice discrepancies that might be attributable to unauthorized access, Forget DP back office password or Discover a security flaw.
10. I/we understand that I/we am/are responsible for installing, operating and maintaining the communication equipment (including but not limited to personal computers and modems), software, tools, telephone or alternative service required at the my/our end and connectivity required for using and accessing the website(s), back office, email account(s), any above referred documents or any other related services at my/ourown cost.
11. Pee Aar Securities Limited will not (and shall not be under any obligation to) assist me/us in operating, installing and / or maintaining any such communication equipment/infrastructure or obtaining any permits, clearances etc for establishing connectivity or linkages to the website(s)ofthe participant.
12. Pee Aar Securities Limited's own records of the transactions/holdings/bills etc. mentioned through computer systems or otherwise shall be accepted as conclusive and binding on me/usforall purposes.
13. I/we understand and agree that the initial password sent by Pee Aar Securities Limited of DP back office should only be used for the first login. I/we agree to immediately reset my/our password(s) upon the first login. I/we understand and agree that If I/we do not change the password(s) after the first login, I/we shall keep the Pee Aar Securities Limited and/or any of it's employees, directors, agents, associates indemnified against any loss suffered by them and also not hold them responsible for any loss suffered by me/us on this account.
14. I/we understand and agree that the records of the Pee Aar Securities Limited with respect to delivery of above referred documents shall be conclusive evidence of any such documents delivered.
15. Master Capital Services Ltd. and I/we shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.
16. I/We shall approach Pee Aar Securities Limited within 24 hours from the delivery/display of the above data/documents etc. intimating any inability to access or download of the above data, document, data etc. failing which it shall be deemed to be the due delivery and acceptance of the data, document, data etc. sent to me/us via electronic mail/displayed by Pee Aar Securities Limited/on the website of Pee Aar Securities Limited. In all cases, Pee Aar Securities Limited reserves the right to determine the validity of my/our objection to the transaction.

Thanking you
Your truly,



(Sole / First Holder)



(Second Holder)



(Third Holder)

* Please stamp & Sign in case of HUF Account ** In case of Joint holding, all joint holders must sign.

TOTAL AMOUNT TO BE PAID WHILE OPENING A D.P. ACCOUNT

OPTION-2	
1. Annual Maintenance Charge	250.00
2. Stamp Paper of POA	100.00
3. Security (Refundable)	500.00
4. G.S.T. @ 18 %	63.00
Total	913.00
Transaction charges per debit	20.00

OPTION-3	
1. Annual Maintenance Charge	00.00
2. Account Opening	00.00
3. Security (Refundable)	10000.00
Total	10000.00

OPTION-10	
1. Annual Maintenance Charge	00.00
2. Stamp Paper of POA	100.00
3. One Time Fees	999.00
4. G.S.T. @ 18 %	198.00
Total	1297.00
Transaction charges per debit	30.00

OPTION-10	
1. Annual Maintenance Charge	500.00
2. Stamp Paper of POA	100.00
3. Security (Refundable)	500.00
4. G.S.T. @ 18 %	108.00
Total	1208.00
Transaction charges per debit	00.00

- N.B. :- You can change the category later on, by paying the difference.
 :- Ask for any special scheme.
 :- We will change the structure after giving prior notice.
 :- You can see you holding on our website in any part of the World.
 :- For other charges consult Account opening Form.
 :- Rs.. 800 Additional AMC Annually for Corporate.

Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

 DP ID

I	N	3	0	1	4	2	8
---	---	---	---	---	---	---	---

 CLIENT ID

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

- I/We wish to make a nomination. (As per details given below)
- I/We wish to cancel the nomination made by me/ us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me / us in the said account shall vest in me/us. *(Strike off the nomination details below)*

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three Nominees in the account		Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
1	Name of the Nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally <input type="checkbox"/> <small>(If not equally, please specify percentage)</small>	%	%	%
Any odd not after division shall be transferred to the first Nominee mentioned in the form.				
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s) PIN Code			
5	Mobile/Phone no. of Nominee(s)			
6	Email ID of Nominee(s)			
7	Nominee Identification Details - (Please tick any one of Following and provide details of Same) <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Proof of Identity	Photograph of Nominee & Signature of Nominee 	Photograph of Nominee & Signature of Nominee 	Photograph of Nominee & Signature of Nominee

Sr. Nos. 8-14 should be filled only If Nominee(s) is a Minor: Signature of Nomination _____

8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian(Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Nominee(s) PIN Code			
11	Mobile / Phone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with Nominee			
14	Guardian Identification Details - (Please tick any one of Following and provide details of Same) <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank Account No. <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Proof of Identity	Photograph of Guardian (If nominee is minor) Signature of Guardian 	Photograph of Guardian (If nominee is minor) Signature of Guardian 	Photograph of Guardian (If nominee is minor) Signature of Guardian

Name(s) of holder(s)	Signature(s) of holder
Sole / First Holder / Guardian (in case sole holder is minor)(Mr. /Ms.)	X
Second Holder (Mr. /Ms.)	X
Third Holder (Mr. /Ms.)	X

Signature of Witness for Nomination

Name of the Witness	Address	Signature of witness and Date								
1		X Date : <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
2		X Date : <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			

Peel Alar

TM

The Financial People

SINCE 1995

SCHEDULE A

ACCOUNT NUMBER : _____

Nature of Service		Charges		
Dematerialisation		Rs. 45.00 Plus Rs. 3.00 per certificate		
(Payable in advance alongwith Request)				
Rematerialisation (Payable in Advance alongwith Request)		Rs. 50/- Courier Rs. 20/- per certificate	Rs. 20/- Per Certificate or Rs. 20/- per 100 Securities or Rs. 5,00,000 which ever is higher	
	"A"	"B"	"C"	"D"
Transactions Charges	Regular Scheme	Investors Scheme	Trader Scheme	Scheme
Account Maintenance (Annual)	Rs. 500/-	Rs. 250/-	0	0
Advice Book Charges*	Rs. 25/- per book of 10 leaves	Rs. 25/- per book of 10 Leaves	0	Rs. 25/- per book of 10 Leaves
Security Deposit (Refundable)	Rs. 500/-	Rs. 500/-	Rs. 10,000/-	Nil
Transaction Charges	NIL	20/- Per Transaction	NIL	Rs. 30/- Per Transaction

Other Services for All the options

Pledge / Hypothecating Charges :	
Creation / Confirmation	Rs. 50/- Per Transaction
Closure / Confirmation	Rs. 50/- Per Transaction
Invocation	Rs. 50/- Per Transaction
Duplicate Statements	Rs. 10/- per page + Despatch charges
Cheque Bounce Charges	Rs. 100/-
Instruction Advice Rejection	Rs. 25/- per Advice

Please place my account under scheme _____

Note :

1. DP will not be responsible if it is unable to execute late instruction. Please adhere to deadline.
2. Security Deposit will be refunded after a period of one months from the date of closure of account.
3. Any other service not specified above shall be charged extra.
4. All charges are changeable subject to one month notice.
5. In case of Non Payment of Bill / Dues within due date. Interest shall be charged @ 12% P.A.
6. GST is 18% (Subject to change as per the notification by Govt. of India).
7. You wish not OPT for BSDA [Basic Service Demat Account]

For **Pee Aar Securities Ltd.**



Notes :

1. All communications shall be sent at the correspondence address of the Sole/First Holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other languages not contained in the 8th schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. As per NSDL Circular No. NSDL/PI/2004/1622 dated September 7, 2004 pursuant to SEBI Circular No.MRD.DoP/Dep/Cir 29/2004 dated August 24, 2004 a copy of any one of the following documents may be accepted as proof of identity / proof of address (local correspondence / foreign address as the case may be) :

Proof of Identity: Passport, Voter ID Card, Driving Licence, PAN Card with photograph, MAPIN Card, Identity card/document with applicant's Photo, issued by a) Central/State Government and its Departments b) Statutory/Regulatory Authorities, c) Public Sector Undertakings, d) Scheduled Commercial Banks, e) Public Financial Institutions, f) Colleges affiliated to Universities, g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members, and h) Credit cards/Debit cards issued by Banks.

Proof of Address: Ration card, Passport, Voter ID card, Driving Licence, Bank passbook, verified copies of Electricity bills (not more than two months old)/ Residence Telephone bills (not more than two months old)/ Leave and License agreement / Agreement for sale, Self-declaration by High Court & Supreme court judges, giving the new address in respect of their own accounts, Identity card/document with address, issued by a) Central / State Government and its Departments, b) Statutory / Regulatory Authorities, c) Public Sector Undertakings, d) Scheduled Commercial Banks, c) Public Financial Institutions, f) Colleges affiliated to universities; and g) Professional Bodies as ICAI, ICWAI, Bar Council etc. to their Members.

The Aforesaid documents are minimum requirement for opening the account. The copy of the document will be verified with original before accepting the same as valid.

4. Instructions related to nomination, are as below :
 - I) The Nominations can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - II) A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III) The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be Nominee, subject to the exchange controls in force, from time to time.
 - IV) Nomination in respect of the beneficiary owner accounts stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - V) Transfer of securities in favour of a Nominee shall be valid discharge by the depository against the legal heir.
 - VI) The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation for,.
 - VII) On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
5. Strike off whichever is not applicable.

Acknowledgement
Pee Aar Securities Lintied
AG-5, Shalimar Bagh, Delhi-110088

Received the application from Mr./Ms. _____ as the sole / first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Your Client Id will be intimated to you shortly. Please quote the DP Id & Client allotted to you in all your future correspondence.

Date : _____

Participant Stamp & Signature

POWER OF ATTORNEY

(To be executed on RS. 20/ Non-judicial paper)

This Power of Attorney is executed at Delhi on this the _____ day of _____ by me _____ (herein after called the Executants) age _____ S/o _____ R/o _____ PAN _____ no _____ in favour of Pee Aar Securities Ltd; herein after called the Attorney.

Whereas, I hold a beneficiary A/C No. _____ with NSDL through Pee Aar Securities Ltd; the Depository Participant, a Company Incorporated in India and having its corporate office at Delhi also a trading members of the National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd. (BSE) and is registered with the Securities and Exchange Board of India (SEBI) under Securities and Exchange Board of India (StockINE368N01024 Brokers and sub-Brokers) Rules 1992, under Registration No. INZ000176938.

And whereas due to personal difficulty and pre-occupations, I am unable to operate and maintain day/today business in regard to my aforesaid beneficiary account personally and otherwise also for facilitating proper execution of all transactions undertaken by me, I am desirous of appointing an agent/attorney and thus hereby appoint, nominate and constitute the above named attorney as my trust and lawful attorney to operate the aforesaid beneficiary account smoothie in my name and on my behalf for a limited purpose in the manner hereinafter appearing and to do the necessary acts, deeds and things thereof.

THIS POWER OF ATTORNEY WITNESSETH as under:

- To sign all documents required by Pee Aar Securities Limited on behalf of client i.e. delivery Instruction slips, delivery instruction book, requisition slip, etc.
 - To instruct the aforesaid Depository Participants to debit Securities and/or transfer securities from the aforesaid for the purposes of delivering the same to the clearing house of the recognized stock exchange towards any segment in respect of securities sold by me he can transfer the shares & Securities from my account can be moved to Pee Aar Securities Ltd. Pool Account (10002510) and BSE Pool A/c (10079273).
 - In case of non payment of financial balance to Pee Aar Securities Limited, within the prescribed time (T+2) and exchanges (NSE, BSE), the shares will be held in Client Unpaid Securities Account (10097598). Further, as per SEBI circular number HO/MIRSD/DOP/CIR/P/2019/75, after T+2+5 if payment is not received, Pee Aar Securities Limited will sell those shares in exchange and credit the amount in client a/c irrespective of the fact that there is profit of loss to the client.
 - To procure new delivery instruction book and to sign the necessary documents for this purpose. However, this authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me through the attorney Pee Aar Securities Limited.
 - AND GENERALLY, to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments to for and delivery of securities arising out of transactions undertaken by me are duly and properly completed. However, it is made clear that I shall be responsible for all the acts, deeds and things done by my said attorney in my name and on my behalf and my said Attorney shall not in any manner whatsoever be held responsible for any of his negligence, and shall also not be liable for any civil, criminal of monetary acts or liability of any of the act, deeds and things done by my Attorney in my name and on my behalf.
 - AND I DO HEREBY for myself, my heirs, executors and administrators agree to ratify and confirm all and whatsoever my said Attorney if shall do or purport to do or cause to be done by virtue of these presents.
 - And to transfer the share in broker margin A/C by off market transaction. And I do hereby agree that in the event of ratification required, I shall ratify and confirm all Acts/deeds/things done by my Attorney as if the same are done by me for all intent and purposes.
 - Transfer of securities held in the beneficial owner account(s) of the client(s) towards stock exchange related margin / delivery obligations arising out of trades executed by the Client(s) on the stock exchange through the same Stock Broker.
 - Pledge the securities in favour of Stock Broker for the limited purpose of meeting the margin requirements of the client(s) in connection with the trades executed by the client(s) on the stock exchange through the same stock broker. Necessary audit trail should be available with the stock broker for such transactions.
- To apply for various products like Mutual Funds, Public Issue (shares as well as debentures),
- rights, offer of shares, tendering shares in open offers etc. Pursuant to the instructions of the Client(s). However, a proper audit trail should be maintained by the Stock Broker to prove that the necessary application/act was made /done pursuant to receipt of instruction from Client.
 - The stock broker would return to the client (s), the securities or fund that may have been received by it erroneously or these securities or fund that was not entitled to received from the client (s).
 - This Power of Attorney is Revocable.

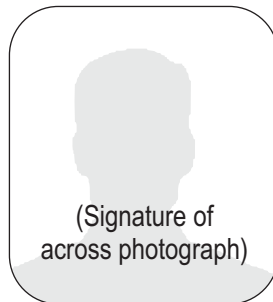
IN WITNESS WHEREOF, the executant has signed this power of Attorney on the day, month and year mentioned above in presence of the witnesses.

WITNESSES:

(Name, Address, Signature)

1

2



Signature _____

EXECUTANT

/Accepted/

(Attorney)

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner

shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

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

Manner of Closure of Demat account

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

Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

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

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Byelaws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Consent/Common Aadhaar linking form across Pee Aar Serviced Financial products and Depository services/broking/MF

INFORMATION TO INVESTORS

Ministry of Finance (Dept. of Revenue) in consultation of RBI came up with Notification G.S.R. 538 (E), dated 1st June, 2017, carried out amendments to prevention of Money Laundering (Maintenance of Records) Rules, 2005.

As per the new rules linking of Aadhaar number with Broking services, Depository services and Mutual Fund investments is mandatory, for all the holders. Failing which, the demat account, trading and folios will be frozen by 31/12/2017.

The purpose of collection/usage of Aadhaar number including demographic information is to comply with applicable laws / rules / regulations and provision of the said data is mandatory as per applicable laws / rules / regulations. Post obtaining the Aadhaar number, we shall authenticate the same in accordance with the

Aadhaar Act, 2016. We shall receive your demographic information which shall be used only to comply with applicable laws / rules / regulations.

We, at Pee Aar Securities Limited enabled several convenient modes of Aadhaar number linking across all Pee Aar serviced Broking/ DP/MF services.

Please fill in your details below:

PAN	<input style="width: 95%;" type="text"/>	Aadhaar No.	<input style="width: 95%;" type="text"/>
Name	<input style="width: 95%;" type="text"/>		Gender <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> O

"Please submit these details separately for All Holders"

Consent

I / We hereby provide my / our consent 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 / disclose of the Aadhaar number(s) including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in my / our folios with my / our PAN.

Signature	Date <input style="width: 95%;" type="text"/>
	Place <input style="width: 95%;" type="text"/>

For investor convenience, Pee Aar Securities Limited is collecting this mandatory information for authentication and seeding across all participating Pee Aar Serviced broking / depository/ Mutual Funds where you are already an investor or would become an investor in future.

Please submit the form duly filled, signed, for all the holders, separately, and submit at Pee Aar Securities office- Pee Aar Securities Limited, AG-20, Ground Floor, Shalimar Bagh, Delhi 110088, India

New Address : AG-5, Ground Floor, Shalimar Bagh, Delhi 110088, India

Detailed Consent:

I hereby state that I have no objection in authenticating myself with Aadhaar based authentication system and consent to providing my Aadhaar number, Biometric and/or One Time Pin (OTP) data (and/or any similar authentication mechanism) for Aadhaar based authentication for the purposes of availing of the Broking and demat Services from Pee Aar Securities Limited.

I understand that the Biometrics and/or OTP and/or any other authentication mechanism I may provide for authentication shall be used only for authenticating my identity through the Aadhaar Authentication system for that specific transaction and for no other purposes.

I understand that Pee Aar Securities Limited shall ensure security and confidentiality of my personal identity data provided for the purpose of Aadhaar based authentication.

I also hereby authorise to use my linked Aadhaar enabled demat/broking a/c for receiving shares/payments across schemes that I am eligible using the Aadhaar based authentication.

AMENDMENT (KINDLY NOTE)

1. Declaration: The rules and regulations of the Depository and Depository Participant pertaining to an account which are in force now have been read by me/ us and I/we have understood the same and I/ we agree to abide by and to be bound by the rules as are in force time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, “ Right and Obligation of the Beneficial owner and Depository Participant”.
2. BSDA- BASIC SERVICE DEMAT ACCOUNT
I Have been explained the BSDA rules and and regulations and I do not opt for BSDA facility.
3. I/we hereby declare that I/we have complied and will continue to comply with requirements under FEMA
4. The investment by the QFIs in MF equity and debt schemes under this scheme shall also be subject to the relevant and extant FEMA regulations and guidelines issued by he Reserve Bank of India under FEMA, 1999 from time to time.
5. Declaration: The rules and regulations of the Depository and Depository Participant Pertaining to an account which are in force now have been read by me/ us and I/we have understood the same and I/ we agree to abide by and to be bound by the rules as are in force time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.
6. For HUF, Partnership Firm, Unregistered Trust, Association of Person (AOP) etc., although the account is opened in the name of the karta, partner(s), trustee (es) etc, the name and PAN of the HUF, Partnership Firm, Unregistered Trust, Association of Person (AOP) etc. ,should be mentioned below:

a) Name

b) PAN

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(Client Signature)

Equities
Derivatives
Commodities
Currency
Online Trading
IPOs & Mutual Funds
DP Services
Clearing Services
Insurance

Research Based Advisory Services



Corporate and Head office :

AG-20, Shalimar Bagh, Delhi-110088

**New Address : AG-5, Shalimar Bagh,
Delhi-110088**

Ph.: 011-40072251-56

Fax : 011-42680480

E-mail : investor@peeaar.in

Website : www.peeaar.in