

**CLIENT
REGISTRATION KIT**
Demat & Trading Account



**FAST, EFFICIENT, SEAMLESS - JUST
LIKE MUMBAI LOCALS!**

Form no.....

CLIENT DETAILS

Client Name.....

Client Code.....

ACCOUNT OPENING KIT

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ICON FOR ILLUSTRATION



Authorised Signatory & Company Stamp

Name of stockbroker/trading member/clearing member	AIKYAM CAPITAL PRIVATE LIMITED
SEBI Registration No	INZ000321232 (NSE/BSE/MCX/MSEI) / DP Registration No. (IN-DP-854-2026)
Corporate Identity Number	U67100MH2022PTC394087
Trading Member Code	NSE Member Code: 90419, BSE Member Code: 6899, MCX Member Code: 8136, MSEI Member Code:80750, NSDL DP ID: IN305066
Registered Office Address	1203, 12th Floor, Lotus Link Square, D.N Nagar Metro Station, New Link Road, Andheri (W), Mumbai - 400053.
Correspondence Office Address	1704, 17 th Floor, Lotus Link Square, D.N Nagar Metro Station, New Link Road, Andheri (W), Mumbai - 400053. Ph: +91 22 6975 2608 Fax: +91 22 6975 2620 Website: www.aikyamcap.com
Name of Compliance Officer	Mr. Anand Mody Ph: +91 2269752604 Email id: compliance@aikyamcap.com / anand@aikyamcap.com
Name of CEO	Mr. Nilesh Choudhary Ph: +91 2269752699 Email id: nilesh@aikyamcap.com

For any grievance / dispute please contact us at Investor Grievance No: +91 22 6975 2624 or you may write into us at grievances@aikyamcap.com for stock broking related queries.

In case not satisfied with the response, please contact Exchanges on below numbers.

NSE at ignse@nse.co.in and Phone no. +91 1800 266 0050,

BSE at is@bseindia.com and Phone no. +91 22 2272 8016,

MCX at grievance@mcxindia.com and Phone no. +91 22 6731 8888.

MSEI at isc.mumbai@mse.co.in and Phone no. [+91 22 6112 9097](tel:+912261129097) / [+91 22 6112 9094](tel:+912261129094)

If not satisfied with response or your grievance is still unresolved you may register complaint to with SEBI on the SCORES website: <https://scores.Sebi.gov.in>. For any query or assistance, contact SEBI office on Toll Free Helpline at +91 1800 22 7575 / +91 1800 266 7575.

INSTRUCTIONS/ GUIDELINES FOR FILLING KYC APPLICATION FORM

IMPORTANT POINTS:

1. Self-attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and Directors and persons authorized to deal in securities on behalf of company/firm/others.
 2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the list mentioned in clause "F".
 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 is different, then proof for both have to be submitted.
 6. Sole proprietor must make the application in his individual name & capacity.
 7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
 8. For foreign entities, company to share CIN or equivalent business registration number ; 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. For sake of clarity any relative of PEP shall be considered as PEP.
- **Proof of Identity (POI): - List of documents admissible as Proof of Identity:**
- PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
 - Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License.
 - If driving license number or passport is provided as proof of identity, then expiry date is to be mandatorily furnished.
 - 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.
- **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. Original Verified Documents (OVD) are acceptable - Passport/ Voters Identity Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
 2. Utility bills like electricity, telephone - Not more than 2 months old.
 3. Bank Account Statement/Passbook - Not more than 2 months old.
 4. Self-declaration by sitting Judges of the Supreme Court and High Courts, stating their 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 FPI : Power of Attorney given by FPI to the Custodians (which are duly notarized and/or apostilled or consularized) that gives the registered address should be taken.
8. The proof of address in the name of the spouse, where the applicant is the joint holder may be accepted.

■ **Proof of Address (POA): - List of documents for Overseas Address Proof for Non-Resident Indians (NRIs) and Foreign Nationals (FNs)**

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

1. Self-attested bank statement (2 months) of an account maintained overseas
2. Utility bill (electricity, gas, telephone – not older than 2 months)
3. Original Banker verification letter
4. Self-attested copy of valid rent / lease agreement
5. Foreign government issued ID card containing overseas address
6. Copy of agreement / offer letter certified by employer
7. Copy of continuous discharge certificate (CDC)

■ **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. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

■ **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.

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

Types of entity	Documentary requirements
Corporate	1. Copy of the balance sheets for the last 2 financial years (to be submitted every year). 2. 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). 3. Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. 4. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. 5. Copies of the Memorandum and Articles of Association and certificate of incorporation. 6. Copy of the Board Resolution for investment in securities market. 7. Authorized signatories list with specimen signatures.
Partnership firm	1. Copy of the balance sheets for the last 2 financial years (to be submitted every year). 2. Certificate of registration (for registered partnership firms only). 3. Copy of partnership deed. 4. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	1. Copy of the balance sheets for the last 2 financial years (to be submitted every year). 2. Certificate of registration (for registered trust only). 3. Copy of Trust deed. 4. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees.
HUF	1. PAN of HUF. 2. Deed of declaration of HUF/ List of coparceners. 3. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	1. Proof of Existence/Constitution document. 2. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. 3. Authorized signatories list with specimen signatures.
Banks/Institutional Investors	1. Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. 2. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	1. Copy of SEBI registration certificate. 2. Authorized signatories list with specimen signatures.
Army/ Government Bodies	1. Self-certification on letterhead. 2. Authorized signatories list with specimen signatures.
Registered Society	1. Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. 2. Committee resolution for persons authorized to act as authorized signatories with specimen signatures.

**Important Instructions:**

A) Fields marked with '*' are mandatory.

B) Please fill the form in English and in BLOCK letters.

C) List of two character ISO 3166 country codes is available at the end.

D) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

E) KYC number of entity is mandatory for update application.

For office use only

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

Account Holder Type*

☐ US Reportable☐ Other Reportable

(Please refer instruction A at the end)

Nature of Business / Entity Constitution Type*

☐

(Please refer instruction B at the end)

☐ **1. ENTITY DETAILS** (Please refer instruction C at the end)☐ Name*

Date of Incorporation*

Date of Commencement of Business*

Place of Incorporation*

Country of Incorporation*

Country of Residence as per Tax laws*

Identification Type

☐

Tax Identification Number (TIN)

TIN Issuing Country

PAN

Number of controlling person(s) resident outside India for tax purposes

(Please provide details of each Controlling Person resident outside India for Tax purposes separately in 'Annexure C2')

☐ **2. PROOF OF IDENTITY (PoI)*** (Please refer instruction D at the end)(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)☐ Certificate of Incorporation / Formation☐ Registration Certificate☐ Resolution of Board / Managing Committee☐ Memorandum and Article of Association / Partnership Deed / Trust Deed☐ Officially valid document(s) in respect of person authorised to transact☐ **3. PROOF OF ADDRESS (PoA)*** (Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted) (Please see instruction E at the end)**3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS***

Address Type*

☐ Residential / Business☐ Residential☐ Business☐ Registered Office☐ Unspecified

Proof of Address*

☐ Certificate of Incorporation / Formation☐ Registration Certificate

Line 1*

Line 2

Line 3

State / U.T Code*

Pin / Post Code*

City / Town / Village*

ISO 3166 Country Code*

3.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A2')

Address Type*

☐ Residential / Business☐ Residential☐ Business☐ Registered Office☐ Unspecified

Proof of Address*

☐ Certificate of Incorporation / Formation☐ Registration Certificate

Line 1*

Line 2

Line 3

State / U.T Code*

Pin / Post Code*

City / Town / Village*

ISO 3166 Country Code*

3.3 ADDRESS IN THE JURISDICTION WHERE ENTITY IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*☐ Same as Current / Permanent / Overseas Address details☐ Same as Correspondence / Local Address details

Address Type*

☐ Residential / Business☐ Residential☐ Business☐ Registered Office☐ Unspecified

Proof of Address*

☐ Certificate of Incorporation / Formation☐ Registration Certificate

Line 1*

Line 2

Line 3

State*

ZIP / Post Code*

City / Town / Village*

ISO 3166 Country Code*

☐ **4. 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

☐ **5. DETAILS OF RELATED PERSON*** (In case of additional related persons, please fill 'Annexure B2') (Please refer instruction G at the end)☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person details

KYC Number of Related Person (if available*)

If KYC number is available, only 'Related Person Type' and 'Name' is mandatory.

Related Person Type*

☐ Director☐ Promoter☐ Karta☐ Trustee☐ Partner☐ Authorised Signatory☐ Court Appointed Official☐ Beneficiary

5.1 PERSONAL DETAILS (Please refer instruction G.I at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*				
Marital Status*				
Residential Status*				
Occupation Type*				

5.2 TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA(Please refer instruction G.II at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 5.2 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*	

5.3 PROOF OF IDENTITY (PoI)*(Please refer instruction G.III at the end)

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

☐ 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	

5.4 PROOF OF ADDRESS (PoA)*(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

5.4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction G.IV at the end)

Address Type*					
Proof of Address*					
Address					
Line 1*					
Line 2					
Line 3					
State / U.T Code*		Pin / Post Code*		City / Town / Village*	
				ISO 3166 Country Code*	

☐ 6 REMARKS (If any)

7. APPLICANT 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/we am/are aware that I/we may be held liable for it.
- My/Our personal KYC details may be shared with Central KYC Registry.
- I/We 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

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Self-Certified ☐ True Copies ☐ Notary

Risk Category ☐ High ☐ Medium ☐ Low

IN PERSON VERIFICATION CARRIED OUT BY

INSTITUTION DETAILS

Identity Verification		Date	
Emp. Name			
Emp. Code			
Emp. Designation			
Emp. Branch			

Name	
Code	

[Institution Stamp]

[Employee Signature]

General Instructions:

- Fields marked with '*' are mandatory.
- Tick '✓' wherever applicable.
- Please fill the form in English and in BLOCK letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for update application.
- For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

A Clarification / Guidelines for filling 'Account Holder' type sectionUS Reportable

- F1 - Owner-Documented FI with specified US owner(s)
 F2 - Passive Non-Financial Entity with substantial US owner(s)
 F3 - Non-Participating FFI
 F4 - Specified US Person
 F5 - Direct Reporting NFFE
 XX - Not Applicable

Other Reportable

- C1 - Passive Non-Financial Entity with one or more controlling person that is a Reportable Person
 C2 - Other Reportable Person
 C3 - Passive Non-Financial Entity that is a CRS Reportable
 XX - Not Applicable

B Clarification / Guidelines for filling 'Nature of Business / Entity Constitution' type sectionEntity Constitution Type:

- | | |
|--|-----------------------------------|
| A - Sole Proprietorship | H - Trust |
| B - Partnership Firm | I - Liquidator |
| C - HUF | J - Limited Liability Partnership |
| D - Private Limited Company | K - Artificial Juridical Person |
| E - Public Limited Company | Z - Others |
| F - Society | X - Not Categorized |
| G - Association of Persons (AOP) / Body of Individuals (BOI) | |

C Clarification / Guidelines for filling 'Entity Details' sectionIdentification Type:

- T-TIN
 C- Company Identification Number
 G- US GIIN
 E- Global Entity Identification Number (EIN)
 O- Other

D Clarification / Guidelines for filling 'Proof of Identity[PoI]' section

- One certified copy of any one of the mentioned Proof of Identity [PoI] needs to be submitted.

E Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of multiple correspondence / local addresses, please fill 'Annexure A2'

F Clarification / Guidelines for filling 'Contact Details' section

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

G Clarification / Guidelines for filling 'Related Person Details' section**I Personal Details**

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

II Resident outside India for tax purposes

- Jurisdiction(s) of Residence:** It may be mentioned that since US taxes the global income of its citizen, every US citizen of whatever nationality, is also a resident for tax purpose in USA.
- Tax Identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification ("Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

III Proof of Identity [PoI]

- If driving license number or passport is provided as PoI then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

IV Proof of Address [PoA]

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

H Clarification / Guidelines for filling 'Details of Controlling Person' section**I Personal Details**

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

II Proof of Identity [PoI]

- If driving license number or passport is provided as PoI then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

III Proof of Address [PoA]

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

List of two- digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity | Correspondence / Local address

Important Instructions:

A) Fields marked with '**' are mandatory.

B) Please fill the form in English and in BLOCK letters.

C) List of two character ISO 3166 country codes is available at the end.

D) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

E) KYC number of entity is mandatory for update application.



For office use only

Application Type*

☐ New☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

1. PROOF OF ADDRESS (PoA)* (Certified copy of any one of the following Proof of Address [PoA] needs to be submitted) (Please see instruction E at the end)☐ 1.1 CORRESPONDENCE / LOCAL ADDRESS DETAILS*☐ Same as Current / Permanent / Overseas Address details

Address Type*

☐ Residential / Business☐ Residential☐ Business☐ Registered Office☐ Unspecified

Proof of Address*

☐ Certificate of Incorporation / Formation☐ Registration Certificate

Line 1*

Line 2

Line 3

State / U.T Code*

Pin / Post Code*

City / Town / Village*

ISO 3166 Country Code*

☐ 2. 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

3. APPLICANT 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/we am/are aware that I/we may be held liable for it.
- My/Our personal KYC details may be shared with Central KYC Registry.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : - - Place :

4. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

☐ Self-Certified☐ True Copies☐ Notary

Risk Category

☐ High☐ Medium☐ Low

IN PERSON VERIFICATION CARRIED OUT BY

INSTITUTION DETAILS

Identity Verification

☐ Done

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Name

Code

[Employee Signature]

[Institution Stamp]

A) Fields marked with '*' are mandatory.
B) Please fill the form in English and in BLOCK letters.
C) List of two character ISO 3166 country codes is available at the end.

[illegible]

☐ Addition of Related Person
 ☐ Deletion of Related Person
 ☐ Update Related Person details

KYC Number of Related Person (if available*)

 If KYC number is available, only 'Related Person Type' and 'Name' is mandatory

Related Person Type*
 ☐ Director
 ☐ Promoter
 ☐ Karta
 ☐ Trustee
 ☐ Partner
 ☐ Authorised Signatory
 ☐ Court Appointed Official
 ☐ Beneficiary

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

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*

☐ 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	

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	
Line 1*					
Line 2					
Line 3					
State / U.T Code*		Pin / Post Code*		City / Town / Village*	

2. APPLICANT 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/we am/are aware that I/we may be held liable for it.
- My/Our personal KYC details may be shared with Central KYC Registry.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :

D

D

—

M

M

—

Y

Y

Y

Y

 Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Self-Certified ☐ True Copies ☐ Notary

Risk Category ☐ High ☐ Medium ☐ Low

IN PERSON VERIFICATON CARRIED OUT BY

Identity Verification

☐ Done

Date

D

D

—

M

M

—

Y

Y

Y

Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity | Controlling Person

Important Instructions:

- A) Fields marked with '**' are mandatory.
 B) Please fill the form in English and in BLOCK letters.
 C) List of two character ISO 3166 country codes is available at the end.
 D) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 E) KYC number of entity is mandatory for update application.



For office use only

Application Type*

☐ New☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

☐ 1. DETAILS OF CONTROLLING PERSON* (Please refer instruction H at the end)

- ☐ Addition of Controlling Person ☐ Deletion of Controlling Person ☐ Update Controlling Person details

KYC Number of Controlling Person (if available*)

Type of control*

In case of Legal Person

☐ Ownership☐ Other Means☐ Senior Managing Officials

In case of Trust

☐ Settlor☐ Trustee☐ Protector☐ Beneficiary☐ Other

In case of Other Legal arrangement

☐ Settlor-Equivalent☐ Trustee-Equivalent☐ Protector-Equivalent☐ Beneficiary -Equivalent☐ Other-Equivalent

1.1 PERSONAL DETAILS (Please refer instruction H.I at the end)

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

1.2 PROOF OF IDENTITY (PoI)* (Please refer instruction H.II at the end)

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

☐ 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	

1.3 PROOF OF ADDRESS (PoA)* (Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)☐ 1.3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction H.III at the end)

Address Type*	☐ Residential / Business	☐ Residential	☐ Business	☐ Registered Office	☐ Unspecified
Proof of Address*	☐ Passport	☐ Driving Licence	☐ UID (Aadhaar)		
Address	☐ Voter Identity Card	☐ NREGA Job Card	☐ Others		
Line 1*					
Line 2					
Line 3					
State / U.T Code*		Pin / Post Code*		City / Town / Village*	
				ISO 3166 Country Code*	

☐ 2. 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

3. APPLICANT 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/we am/are aware that I/we may be held liable for it.

My/Our personal KYC details may be shared with Central KYC Registry.

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

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date :

—

—

Place :

4. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

Self-Certified

True Copies

Notary

IN PERSON VERIFICATON CARRIED OUT BY

Identity Verification

Done

Date

—

—

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

Risk Category

High

Medium

Low

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

Aikyam Capital Private Limited Level 12, Lotus Link Square, Near D.N. Nagar Metro Station, Andheri (W), Mumbai – 400053.			DP ID	I	N	3	0	5	0	6	6
			Client ID								

We request you to open a depository account in our name as per the following details:
(Please fill all the details in CAPITAL LETTERS only)

Date

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

A) Details of Account holder(s):

	Name	PAN
Sole/First Holder		
Second Holder		
Third Holder		

B) **Type of account**

☐ Body corporate
 ☐ FI
 ☐ FII
 ☐ Qualified Foreign Investor
 ☐ Mutual Fund
☐ Trust
 ☐ Bank
 ☐ CM
 ☐ HUF
 ☐ 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	Network								
☐ Below ` 1 Lac	Amount (`) _____								
☐ ` 1 – 5 Lac	As on (date) <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>								
☐ ` 5 Lac – 10 Lac	(Network should not be older than 1 year)								
☐ ` 10 Lac – 25 Lac									
☐ ` 25 Lac – 1 crore									
☐ Above ` 1 crore									

E) **In case of FIIs/Others (as may be applicable)**

RBI Approval Reference Number		RBI Approval date								
SEBI Registration Number (for FIIs)										

F) **Bank Details**

Bank A/c Type	☐ Savings Account ☐ Current Account ☐ Others (Please specify) _____										
Bank A/c No.											
Bank Name											
Branch Address											
City/town/village						PIN Code					
State						Country					
IFSC Code											
IBAN Coad						SWIFT Code					

G)	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:	☐ Politically Exposed Person (PEP) ☐ 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.	☐ Yes ☐ No
2	Account to be operated through Power of Attorney (PoA)	☐ Yes ☐ No
3	SMS Alert facility	
	Sr. No.	Holder
	1	Sole/First Holder
	2	Second Holder
	3	Third Holder
4	Mode of receiving Statement of Account	☐ Physical Form ☐ 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".

(Additional declaration applicable only for AoPs for opening of demat accounts in the name of Association of Persons (AoP)

itself for holding the permitted Securities)

1. I/we confirm that the AoP holds only such securities in dematerialized form as permitted by the statutes governing its constitution.

2. I/we confirm that the demat account is not be used for subscribing / holding other than the permitted securities.

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		X
Second Signatory		X
Third Signatory		X
Other Holders		
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)		
☐ Any one singly		
☐ Jointly by		
☐ As per resolution		
☐ Others (please specify)		

Notes:

1. In case of additional signatures, separate annexures should be attached to the application form.
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.

Option for Issue of DIS Booklet:

I/We hereby state that

☐ **Option 1** : I / We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my / our NSDL account though I / we have issued a DDPI/registered for eDIS/executed PMS agreement in favour of/with (name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Or

☐ **Option 2** : I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a DDPI/registered for eDIS/executed PMS agreement in favour of / with (name of the attorney / Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my/our request at any later date.

AIKYAM CAPITAL PRIVATE LIMITED

Schedule-A Tariff Structure				
For individuals/HUF/corporates				
Sr. No.	Parameters		Beneficiary Account	
1.	Agreement& Stamp Paper charges		Actual	
2.	Annual Maintenance Charges (from Second year)		₹0 for BSDA upto ₹4,00,000 ₹4,00,001 and ₹10,00,000 is ₹100+GST p.a. excluding NSDL charges: ₹599/- For Individual ₹1500/- For Non-Individual	
3.	Transaction Fees – Buy		Nil	
4.	Scheme Name: -		ACPL-Basic (Individual)	ACPL-Corporate (Non-Individual)
	A/c Opening Charges		Nil	Actuals
	Transaction Fees - Sell	a. Off-market transfers	₹35 per instruction	₹45 per instruction
		b. Market transfer	₹20 per debit transaction	₹12 per debit transaction
5.	Dematerialization		₹3 per Certificate + ₹50 per request	
6.	Rematerialisation		₹15 per Certificate & ₹10 per RRF + Postal charges	
7.	Margin Pledge/CUSPA Pledge/Unpledge/Confiscate charges		₹25/- Per ISIN	
8.	Demat / Remat rejection per case		₹50/-	
9.	Inter Settlement pool to pool charges for pay out shares received in ACPL POOL account		₹30/-	
Delivery Instruction				
10.	First Delivery Instruction Book (5 Leaves)		Free	
11.	Every Addl Booklet (5 Leaves)		₹50/-	
Non-Periodic Statement Requests				
12.	a.	By Email	₹10/- per request	
	b.	Physical	Rs. 50 per request upto 10 pages. Every additional page at ₹5 (+Courier charges at actual)	
13.	Cheque Bounce Charges		₹350/-	
14.	Failed Transactions		₹20 per ISIN	
15.	Modification in CML		₹25/- per request	
16.	KRA Upload / Download		₹50/-	

NOTE :

- Except for the month of April, an amount of ₹250/- (Nonadjustable / Nonrefundable) will be charged for each scheme change request. The new scheme will be applicable from the day on which the scheme is changed without adjustment of previous bills.
- The second year, AMC will be charged on pro rata basis from the month of account opening. Subsequently, it will be charged annually in the month of April for next financial year. For Corporate Accounts additional ₹500/- P.A. will be charged towards NSDL AMC** in all the scheme.
- A Settlement fee at the rate of ₹4 per debit instruction in a Client's account shall be charged to the Client which is included in the tariff sheet
- Other Pledge Setup/ Removal/ Confirmation/ Invocation charged ₹35/- per Pledge Instruction.
- In case the account is closed during the year, AMC for the remaining quarter ending upto March will be refunded to the client.
- Stamp Duty on off market transactions where consideration is involved will be levied as applicable from time to time.

- Rates are subject to revision from NSDL. DP reserves the right to amend the tariff at any given point of time. Goods and Service Tax (GST) will be charged extra as per regulation.

Sole / First Holder Name:	Second Holder Name:	Third Holder Name:
Signature	Signature	Signature

NSDL Charges

Account Maintenance NSDL Charges	₹500/- per corporate Account per annum
Remat NSDL Charges	₹10 For every hundred or part there of subject to maximum fee of ₹500000 OR A flat of ₹10 per certificate whichever is higher.
Pledge Creation NSDL Charges(Per instruction)	₹25 per instruction
Margin Pledge NSDL Charges(Per instruction)	₹5/- per Instruction
NDU NSDL Charges	0.01% of the value of securities upon creation of hold subject to a minimum of ₹25/-

**DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) IN FAVOR OF AIKYAM CAPITAL PRIVATE LIMITED.
(VOLUNTARY)**

I / We _____ (Sole/First Holder's name) Jointly with
_____ (Second Holder's name) And
_____ (Third Holder's name) Residing / registered office / place of
business at _____

_____ hold Beneficial Owner Account number (BO ID) _____ with
AIKYAM CAPITAL PRIVATE LIMITED, Depository Participant registered with Securities and Exchange Board of India (SEBI)
bearing DP ID. IN305066- and whereas I/ We am/ are desirous to buy and sell securities through AIKYAM CAPITAL PRIVATE
LIMITED, a stock broker registered with SEBI and a member of recognized Stock Exchange/s (National Stock Exchange of India
Limited, BSE Ltd and Metropolitan Stock Exchange of India Limited) bearing SEBI single registration number
INZ000321232. Whereas I / we authorize to operate my / our Beneficial Owner Account in a manner hereinafter appearing and
subject to conditions as provided herein. Whereas I / We hereby am / are fully aware and understand that this DDPI is
voluntary and I / we have been fully made aware of the explicit authority consented by me / us under this executed document.
I / We do hereby authorize AIKYAM CAPITAL PRIVATE LIMITED (hereinafter referred to as the "Stock Broker / Stock Broker and
Depository Participant") acting through any of its directors and/or its duly authorized officers to perform the following
functions on my/our behalf:

Sr. No.	Purpose	Signature
1	To transfer securities held in my / our beneficial account towards Stock Exchange related Deliveries / Settlement Obligations arising out of trades executed in Cash, F&O and SLB Segment by me / us on the Stock Exchange through Aikyam Capital Private Limited.	First Holder Sign. _____ Second Holder Sign. _____ Third Holder Sign. _____
2	To Pledge / Re-Pledge securities in favour of Aikyam Capital Private Limited for the purpose of meeting margin requirements in connection with the trades executed by me / us on the Stock Exchange.	First Holder Sign. _____ Second Holder Sign. _____ Third Holder Sign. _____
3	Mutual Fund transactions being executed on Stock Exchange order entry platform.	First Holder Sign. _____ Second Holder Sign. _____ Third Holder Sign. _____
4	Tendering shares in open offers through Stock Exchange Platforms (Takeovers, Buyback, Delisting of securities).	First Holder Sign. _____ Second Holder Sign. _____ Third Holder Sign. _____

***The same may be eSigned or signed physically against each purpose of DDPI.**

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

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

terms and conditions as the stock broker/depository participant may think fit.

I/We further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its office situated at 1203, Level 12, Lotus Link Square, Near D.N. Nagar Metro Station, D. N. Nagar, New Link Road, Andheri (W), Mumbai – 400053, However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

List of the Stock Broker Designated Demat Accounts:

Sr.No	Account Description	NSDL Client ID
1	NSDL POOL	IN305066 10000115
2	NSDL TM/CM-CSMPA	IN305066 10000128
3	NSDL TM/CM-CUSPA	IN305066 10000131

This document shall be subject to the jurisdiction of the Courts in Mumbai.

This DDPI document is executed on this _____ day of _____ 20_____.

Sole / First Holder Name:	Second Holder Name:	Third Holder Name:
Signature	Signature	Signature

***Note: In case of HUF account, all coparceners should sign this document.**

For **Aikyam Capital Private Limited**

Authorised Signatory

Terms & Conditions between the Participant and the Client for providing the Transaction Statement through Internet

- The Client(s) is/are aware that it will not receive the transaction statements in paper form.
- The Client(s) will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- The Client(s) is/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised.
- In case transaction statements are sent by email, the Client(s) shall immediately inform the DP about change in email address, if any.
- DPs and Client(s) shall have the right to terminate such service provided a written notice is given atleast 10 days in advance to the other party.

Client Name	First Holder	Second Holder	Third Holder
Signature			

=====

Declaration under the Prevention of Money Laundering Act, 2002

I/We _____, jointly with _____
and _____ here by declare that :

- The Investments made by me in India have been derived from legally declared and assessed sources of income.
- The Applicant understands that Aikyam Capital Private Limited ("ACPL") may review and verify the Applicant's financial profile and hereby agrees that ACPL shall have the right to terminate its relationship and/or agreement with the Applicant if the Applicant, its authorised signatories, beneficial owners or key managerial personnel are found guilty by a competent court of law of violating any applicable law relating to the prevention of money laundering, terrorist financing or any other applicable law, whether directly or indirectly.

Client Name	First Holder	Second Holder	Third Holder
Signature			

Place :

Date :

Client Consent Form

Aikyam Capital Private Limited (hereinafter referred as 'ACPL'), a company incorporated as per Indian Companies Act, 1956 (CIN: U67100MH2022PTC394087), having its Registered Office at 1203, 12th Floor, Lotus Link Square, D.N Nagar Metro Station ,New Link Road, Andheri (West), Mumbai - 400053, India, values privacy of the Individuals as our top priority and commitment, in the work that we do and in our recording and use of your personal information. In order to comply with Indian and global laws and regulations (including GDPR), compliance with KYC (Know your customer) regime and to nurture our association, we would be collecting and using personal data. For this data collection and its use, we need your explicit consent.

The sole purpose of processing* your personal data is to facilitate services being offered by ACPL or its affiliates to you (please refer to our website <https://aikyamcap.com/> for the services being offered by ACPL). For purposes of providing services, your personal data will be shared with the regulators and business associates and the same will flow beyond the control of ACPL. This sharing may also be necessitated now or in future as per the requirement and in accordance with the applicable laws / regulations in India and outside India, as may be amended from time to time.

Customer Consent for Use of Personal Data:

I have read and understood the processing requirement with respect to my personal data as listed above and provide my unequivocal, free, specific and informed consent to the above by signing on the space provided below.

If I need to withdraw my consent with respect to usage of my personal data under ACPL's purview, excluding data which has already been shared with the authorities, regulators or business associates and outside the control of ACPL at that time, I will inform ACPL of my intention in writing requesting ACPL to take necessary action as per ACPL's policies and timelines.

I also confirm that ACPL, while accepting my request for withdrawal of consent, will be allowed to keep such personal information as required by the applicable laws and regulations for history and record keeping purposes for a specified period of time .

By signing below I signify agreement to the processing and sharing of my personal data with ACPL now and in future in order to allow ACPL to conduct business or sharing information with business associates or authorities as may be required under different regulations, laws and statutes of India and outside India, as may be applicable and amended from time to time.

I Consent	I Don't Consent
Signature Name Date	Signature Name Date

* Processing will mean to include any operation that is performed on personal data (as defined under GDPR Act whether or not by automated means) such as: Collection, Recording, Organization, Structuring, Storage, Adaptation or Alteration, Retrieval, Consultation, Use, Disclosure, Dissemination, Alignment, Combination, Erasure or Destruction. Including but not limited to storing, archiving or just looking at it.

Note 1: Where the customer / client is a child below the age of 16 years, consent to be given or authorized by the holder of parental responsibility.

Note 2: The following third-party controllers rely on your consent:

To,
Aikyam Capital Private Limited,
1203, 12th Floor, Lotus Link Square,
D.N Nagar Metro Station, New Link Road,
Andheri west, Mumbai 400053.

With regard to Beneficiary account no. _____ And Trading Account
_____ Maintained in the name & style “_____” with DP
/Trading (Aikyam Capital Private Limited) We the following family members, being the co-parceners in the
HUF account. M/s _____ hereby give our consent that
the said karta, viz Mr. _____ in the above-mentioned BO ID
/Trading account for shares transactions in the HUF account. This is with reference to my application for an
HUF account opening. Being the Karta of the HUF, I hereby declare that the Following is the listing of the
Coparceners:

Details of our HUF and all its co-parceners / Members are stated as mentioned below

Sr. No.	Name of Family Member	Date of Birth	Gender	Relationship with Karata	Status Specify by tick mark	PAN	Signature
					Members Coparcener		
					Members Coparcener		
					Members Coparcener		
					Members Coparcener		
					Members Coparcener		

I hereby declare that the particulars given by me as stated above are true to the best of my knowledge as on
the date of making this application. we state that the list of surviving members is complete and exhaustive and
does not leave out any members of the HUF

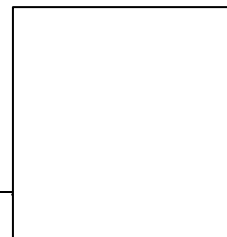
I agree that any false/ misleading information given by me or suppression of any material information will
render my said account liable for termination and further action. Further I agree that I will immediately
intimate any demise or birth in the family as it changes the constitution of the HUF

Name of Karta : _____

Address of HUF: ____ Signature of Karta along with rubber stamp

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

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



A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ Place of incorporation: _____
3. Date of commencement of business: _____
4. PAN: _____ Registration No. (e.g. CIN): _____
5. Status (please tick any one): ☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust
☐ Charities ☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government
Organization ☐ Defence Establishment ☐ BOI ☐ Society ☐ LLP

Others (please specify): _____

B. ADDRESS DETAILS

1. Address for correspondence:

City/town/village: _____ Pin Code: _____ State: _____
Country: _____ Mobile No. _____ Email ID. _____

Specify the proof of address submitted for correspondence address: _____

2. Registered Address (if different from above): _____

City/town/village: _____ Pin Code: _____ State: _____
Country: _____

Specify the proof of address submitted for registered address: _____

C. OTHER DETAILS

1. Gross Annual Income Details (please specify):
Income Range per annum: ☐ Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lacs-1 crore ☐ > 1 crore
2. Net-worth Rs. _____ as on (dd/mm/yyyy) _____ (*Net worth should not be older than 1 year)

D. 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.

Date: _____

Name: _____

Place: _____

Authorised Signatory & Company Stamp

FOR OFFICE USE ONLY

- ☐ (Originals verified) True copies of documents received ☐ (Self-Attested) Self Certified
Document copies receive

DETAILS OF PROMOTERS/ PARTNERS/ KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

Sr. No.	Name	Designation	PAN	Residential / Registered Address	DIN of whole time directors	Photograph
1						
2						
3						
4						
5						



Name & Signature of the Authorized Signatory(ies)

Date

D

D

M

M

Y

Y

Y

Y

FATCA – CRS Annexure for Non-Individual Accounts

INTRODUCTION

Under Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS), we are required to determine the tax residence status of our customers. Please complete and read instructions to fill this self-certification form carefully, so that we can hold accurate and up to date information about your Tax Residence¹³. If there are subsequent changes to your circumstances, please let us know by providing an updated self-certification form.

Please refer to the table below for the section that may be relevant to you

TYPE OF ENTITY	RELEVANT SECTION IN THIS FORM
US Entity ¹	1. Part A 2. Part B(i) - If Financial Institution OR Part B(ii) - If Non-Financial Institution 3. Agreement & Sign – Off 4. Additionally, submit US IRS ¹⁰ form (W9)
Financial Institution ² / Investment Entity ⁷	Part A, Part B(i), Agreement & Sign-Off
Non-Financial Institution ³	Part A, Part B(ii), Agreement & Sign-Off
Sole-Proprietorship	Part C only

Please consult your tax, legal and/or other professional advisers if you have any question on or in relation to FATCA, any of the US IRS Forms¹⁰ (including which US IRS Form to complete and submit), CRS or this self-certification form.

More information on FATCA and CRS

For FATCA, please refer to <https://www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca>

For CRS, please refer to <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

PART A

Entity Name			
Country of Incorporation			
PAN Number of entity (for India)			
Registered Address (same as provided in Application Form)			
	City:	PIN/ ZIP:	
	State:	Country:	

ENTITY TAX RESIDENCY DETAILS

If you are a tax resident of a country other than India, complete the following table

Country/Jurisdiction of Tax Residence with Address	Tax Identification No. (TIN ¹⁴)	If TIN not available, select reason A/B/C (See notes below; for Reason B explanation required)

Please tick below if the entity's country(ies) of tax residence did not include the entity's country of incorporation or country of registered address

☐ The entity is not a tax resident of the country(ies) where it is incorporated in or having a registered address. By checking this box, the entity also confirm that it is not a tax resident of any countries other than those declared above.

In the absence of the above confirmation, ACPL may have to disclose the entity's account information to tax authority based on information held in our records. In addition, the entity may not be able to open additional accounts with us.

Notes:

- If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that above its place of effective management or country in which its principal office is located.
- If TIN is unavailable please provide the appropriate reason A, B or C where appropriate:
 - Reason A** – The country/jurisdiction where the Account Holder is resident does not issue TIN to its residents
 - Reason B** – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)
- If the entity is tax resident in more than three countries, please use a separate sheet

PART B (i): FOR FINANCIAL INSTITUTION ONLY

Please provide GIIN¹⁵ (if applicable)

GIIN:																	
FATCA Status - Tick (v) only one option below (for US Entity, only CRS status required along with valid US-IRS W9 ¹⁰ form)																	
☐	Participating Financial Institution (GIIN mandatory)												Participating FFI				
☐	Non-participating Financial Institution												Non-participating FFI				
☐	If none of the above, submit the appropriate US IRS Form ¹⁰ W-8																
CRS Status - Tick (v) only one option below																	
☐	Investment Entity ⁷ located in a non-participating jurisdiction and managed by another Financial Institution (Submit Part C for all Controlling Persons ¹¹)												Participating FFI				
☐	Other Investment Entity ⁷												Non-participating FFI				
☐	Depository Institution ⁵ , Custodial Institution ⁴ , Specified Insurance ⁶ Company												FI				
☐	Non-Reporting Financial Institution ¹⁶																

PART B (ii): FOR NON - FINANCIAL INSTITUTION ONLY

Tick (v) only one option below that describes you best (for US Entity, only CRS status required along with valid US-IRS W9 ¹⁰ form)			FATCA Status	CRS Status
☐	You are a corporation, the stock of which is regularly traded on an Established Securities Market ²⁴ OR a corporation which is a Related Entity ²⁵ of such a corporation		Publicly traded NFFE or NFFE affiliate of a publicly traded corporation	Active NFE – Publicly Traded
☐	The name of the regularly traded corporation that you are a Related Entity of _____	and/ or the name of the Established Securities Market _____		
☐	You are a Public Sector Entity ¹⁷ – Governmental Entity, Agency, Statutory Boards, or entities wholly owned by them; Foreign Embassies or Trade Representative Offices		Exempt Beneficial Owners	Active NFE - Govt. or Central Bank
☐	You are an International Organization ¹⁸		Exempt Beneficial Owners	Active NFE – Intl Org
☐	You are a Start-up Company ²⁰		Excepted Non-Financial Start-up Company	Active NFE - Others
☐	You are a Religious / Charity / Non-profit Organization ¹⁹		Non-profit Organisation	
☐	You are a Holding Company of Non-Financial Groups ²¹		Excepted Non-Financial Group Entity	
☐	You are a Treasury / Financing Centre of Corporate Groups ²²		Excepted Non-Financial Group Entity	
☐	You are a Liquidating or Emerging from Bankruptcy Company ²³		Excepted nonfinancial entity in liquidation or bankruptcy	
☐	You derive more than 50% of your gross income from Active Income ⁹ . Your primary line of business is _____		Active NFFE	
☐	Derive more than 50% of your gross income from Passive Income ⁸ (Submit Part C for all Controlling Persons ¹¹)		Passive NFFE	
☐	If none of the above, submit the appropriate US IRS Form ¹⁰ W-8			

AGREEMENT AND SIGN – OFF

Members of the ACPL do not, and cannot, provide any tax advice. Accordingly, any tax matters set out in this Self- Certification Form is not intended or written to be used, and cannot be used, in connection with the promotion, marketing or recommendation by any person for any of the matters set out in this Self-Certification Form or for the purpose of avoiding tax-related penalties.

1. I agree that Aikyam Capital Pvt Ltd (“ACPL”) may disclose and transfer to its branches, subsidiaries, affiliates or representative offices located in any jurisdiction the information contained in this form, and any information relating to the Account Holder’s accounts and products with ACPL, in connection with or to facilitate their compliance with applicable laws and regulations.
2. I certify that the information provided in this self-certification form is true, accurate and complete in all aspects, and undertake to promptly –
 - a) notify your Relationship Manager or any ACPL officials if there is any change in any of the information provided above, in any event by no later than the date falling 30 days from the date of change.
 - b) provide to your Relationship Manager or any ACPL officials such other information, documents or other evidence which may be required in connection with such change in any of the information provided above
3. I consent to ACPL collecting, using and disclosing information (including disclosing information to any Indian or other government authority or agency) that I have provided for the purpose of complying with applicable laws and regulations.
4. I certify that the persons named and signing below are duly authorized to complete, sign and submit this self- certification form for the Account Holder and warrant that I have obtained the consent of any individual named in this form or have the right to consent on his/her behalf to such collection, use, disclosure and processing of his/her



Authorised Signatory & Company Stamp

Name: _____

Date: _____

GLOSSARY OF IMPORTANT TERM

1. “US Person” means
 - a. A citizen or permanent resident of the United States (e.g. US Green Card Holder or someone who meets the requirements
 - b. to be considered a resident under the ‘substantial presence test’;
 - c. US corporations, partnerships, estates and trusts;
 - d. Any other person that is not a foreign (i.e. non-US) person (as defined under US federal tax law)
2. “Financial Institution” refers to any entity that:
 - a. Is a Custodial Institution (refer Point 4)
 - b. Is a Depository Institution (refer Point 5)
 - c. Is an insurance company (refer Point 6)
 - d. Is an Investment entity (refer Point 7)
 - e. Is an entity that is a holding company or treasury center (applicable only for FATCA)
3. “Non-Financial Institution” refers to any entity that is NOT a Financial Institution (Point 2 above)
4. “Custodial Institution” means any entity that holds, as a substantial portion of its business, Financial Assets for the account of others. This is where the Entity’s gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity’s gross income during the shorter of: (i) the three-year period that ends on December 31 (or the final day of a non- calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence, whichever period is less. Entities such as central securities depositories (CSDL and NSDL), custodian banks, brokers, and depository participants, would generally be considered Custodial Institutions.
5. “Depository Institution” means any entity that accepts deposits in the ordinary course of a banking or similar business. An Entity is considered to be engaged in a “banking or similar business” if, in the ordinary course of its business with customers, it regularly engages in activities such as:
 - a. accepts deposits or other similar investments of funds;
 - b. makes personal, mortgage, industrial, or other loans or provides other extensions of credit;
 - c. purchases, sells, discounts, or negotiates accounts receivable, instalment obligations, notes, drafts, checks, bills of exchange, acceptances, or other evidences of indebtedness;
 - d. issues letters of credit and negotiates drafts drawn thereunder;
 - e. provides trust or fiduciary services;
 - f. finances foreign exchange transactions; or
 - g. enters into, purchases, or disposes of finance leases or leased assets.
 - h. Savings banks, commercial banks, savings and loan associations and credit unions would generally be considered Depository Institutions
6. “Specified Insurance Company” means any entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity

Contract. A single premium life insurance contract which does not permit an amount to be paid on surrender or termination of the contract and which does not allow amounts to be borrowed under or with regard to the contract, shall not constitute a cash value insurance contract. Insurance companies that only provide General Insurance or Term Life Insurance should not be Financial Institutions and neither will reinsurance companies that only provide indemnity reinsurance contracts.

7. "Investment Entity" means any entity –
- that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer, namely:
 - trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
 - individual and collective portfolio management; or
 - otherwise investing, administering, or managing financial assets or money on behalf of other persons; and
 - the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity mentioned in (A) of this clause.

Note - An entity is treated as primarily conducting as a business one or more of the activities described in sub-clause (a) of this clause, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets for purposes of sub-clause (b) of this clause, if the entity's gross income attributable to the relevant activities equals or exceeds fifty per cent. of the gross income of the entity during the shorter of the three-year period ending on 31st March of the year preceding the year in which the determination is made or the period during which the entity has been in existence.

8. "Passive Income" refers generally to the portion of gross income in the preceding calendar year or other appropriate reporting period that consists of: dividends (including substitute dividend payments); interest; income equivalent to interest; rents and royalties (other than those derived in the active conduct of a trade or business conducted, at least in part, by employees); annuities; net gains from the sale of property that gives rise to passive income; net gains from certain transaction in commodities; net foreign currency gains; net income from notional principal contracts; amounts received under cash value insurance contracts; and amounts received by an insurance company in connection with its reserves for insurance and annuity contracts.
9. "Active Income" refers to less than 50 percent of the Non-Financial Entity's (NFE) gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income.
10. "US IRS Forms" refers to the US Internal Revenue Service (IRS) Forms W-9, W-8BEN-E, W-8IMY, W-8EXP and W-8ECI that are available from the US IRS website. You are advised to always obtain your own legal and tax advice when filling up US IRS Forms. Links for the individual forms are given below
- W-9 - <https://www.irs.gov/pub/irs-pdf/fw9.pdf>
 - W-8BEN-E - <https://www.irs.gov/pub/irs-pdf/fw8bene.pdf>
 - W-8ECI - <https://www.irs.gov/pub/irs-pdf/fw8eci.pdf>
 - W-8IMY - <https://www.irs.gov/pub/irs-pdf/fw8imy.pdf>
 - W-8EXP - <https://www.irs.gov/pub/irs-pdf/fw8exp.pdf>
11. "Controlling Persons" are the natural person(s) who exercise control over an entity. This definition corresponds to the term "beneficial owner" described under Prevention of Money Laundering Act.
- In determining the beneficial owner, the procedure specified in the following circular as amended from time to time shall be applied, namely:
- dbod.AML.BC. No.71/14.01.001/2012-13, issued on 18 January 2013 by the Reserve Bank of India; or
 - CIR/MIRSD/2/2013, issued on 24 January 2013 by the Securities and Exchange Board of India; or
 - IRDA/SDD/GDL/CIR/019/02/2013, issued on 4 February 2013 by the Insurance Regulatory and Development Authority.

Where that entity is treated as a Passive Non-Financial Entity ('Passive NFE') then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position.

For 'Company', beneficial owner has a controlling ownership (>25%) or who exercises control through right to appoint majority of the directors or to control the management or policy decisions. For "Partnership Firm" or "Unincorporated Association", beneficial owner has ownership/entitlement to >15% of capital/profits. (Please refer to Section 4.3.9 in the link <http://www.incometaxindia.gov.in/Lists/Latest%20News/Attachments/117/Guidance-note-as-on-30-11-2016.pdf>)

Where the settlor(s) of a trust is an Entity then the CRS requires to submit details of the Controlling Persons of the settlor(s) In the case of a legal arrangement other than a trust, "Controlling Person(s) means persons in equivalent or similar positions. *Note: If there are no natural person(s) who exercise control of the Entity then the Controlling Person(s) will be the natural person(s) who hold the position of Senior Managing Official*

PART C: CONTROLLING PERSON TAX RESIDENCY SELF – CERTIFICATION FROM

(For multiple controlling persons, use a separate form for each controlling person)

Please submit this form for each Controlling Person, if the entity is any one of the below (please tick ✓ as applicable)

☐ Investment Entity located in a non-participating jurisdiction & managed by another Financial Institution☐ Passive NFFE☐ Sole Proprietorship

Fields marked * are mandatory

Name* (as in PAN/ Passport): _____

PAN* (for India): _____

Father's Name*: _____

Town/ City of Birth*: _____

Country of Birth*: _____

Nationality*: _____

Date of birth*: _____

Residential Status*: ☐ Resident ☐ NRI ☐ Foreign National ☐ PIOID Doc type*: ☐ Driving License ☐ PAN ☐ Passport Number ☐ Voter ID ☐ UID/ Aadhaar ☐ NREGA☐ Others (please specify) _____

ID Doc Number*: _____

Country of Issue*: _____

Date of Issue*: _____

Date of Expiry: _____

Address Doc type*: ☐ Driving License ☐ UID/Aadhaar ☐ Passport ☐ Voter ID Card ☐ NREGA☐ Others (please specify) _____

Residential Address*:

City: _____

PIN/ ZIP: _____

State: _____

Country: _____

Tick ✓ below if you are a tax resident of any other country outside India

☐ I am a US Person/ US Tax resident/ Green Card Holder (mandatory to submit US-IRS Form W9)☐ I am a tax resident of country(ies) other than USA

If you have ticked any of the above, please complete the table below indicating ALL tax residencies outside India (incl. USA)

Country/Jurisdiction of Tax Residence ¹³ with Address	Tax Identification No. (TIN ¹⁴)	If TIN not available, select reason A/B/C (See notes below; for Reason B explanation required)

Please provide a copy of government-issued document to support each of your tax residency (e.g. identity card, passport, employment pass/work permit or documents from tax authority showing recent filing of income tax).

If your country/jurisdiction of tax residence did not include the country of your residential address, please tick ✓ the following box and confirm that:

☐ I am not a tax resident of the country(ies) where I am residing. By checking this box, I also confirm that I am not a tax resident of any countries other than those I have declared above. In the absence of the above confirmation, ACPL may have to disclose your account information to tax authority based on your information held in our records. In addition, you may not be able to open additional accounts or purchase investments with us.

Notes:

1. If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that above its place of effective management or country in which its principal office is located.

2. If TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

a. **Reason A** – The country/jurisdiction where the Account Holder is resident does not issue TIN to its residents

b. **Reason B** – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

3. If the entity is tax resident in more than three countries, please use a separate sheet

Type of Controlling Person (tick the one(s) as applicable)	
☐ Legal person – by ownership	☐ Legal arrangement (non-trust) – settlor-equivalent
☐ Legal person – by other means	☐ Legal arrangement (non-trust) – trustee-equivalent
☐ Legal person – by senior managing official	☐ Legal arrangement (non-trust) – protector-equivalent
☐ Trust – settlor	☐ Legal arrangement (non-trust) – beneficiary-equivalent
☐ Trust – trustee	☐ Legal arrangement (non-trust) – other-equivalent
☐ Trust – protector	
☐ Trust – beneficiary	
☐ Trust – other	

Members of the ACPL do not, and cannot, provide any tax advice. Accordingly, any tax matters set out in this Self- Certification Form is not intended or written to be used, and cannot be used, in connection with the promotion, marketing or recommendation by any person for any of the matters set out in this Self-Certification Form or for the purpose of avoiding tax-related penalties.

AGREEMENT AND SIGN – OFF

1. I agree that Aikyam Capital Pvt Ltd (“ACPL”) may disclose and transfer to its branches, subsidiaries, affiliates or representative offices located in any jurisdiction the information contained in this form, and any information relating to the Account Holder’s accounts and products with ACPL, in connection with or to facilitate their compliance with applicable laws and regulations.
2. I certify that the information provided in this self-certification form is true, accurate and complete in all aspects, and undertake to promptly –
 - a. notify your Relationship Manager or any ACPL officials if there is any change in any of the information provided above, in any event by no later than the date falling 30 days from the date of change.
 - b. provide to your Relationship Manager or any ACPL officials such other information, documents or other evidence which may be required in connection with such change in any of the information provided above
3. I consent to ACPL collecting, using and disclosing information (including disclosing information to any Indian or other government authority or agency) that I have provided for the purpose of complying with applicable laws and regulations.
4. I certify that the persons named and signing below are duly authorized to complete, sign and submit this self-certification form for the Account Holder and warrant that I have obtained the consent of any individual named in this form or have the right to consent on his/her behalf to such collection, use, disclosure and processing of his/her personal data by ACPL for the purposes of this certification.

Controlling Person Signature: _____

Controlling Person Name: _____

Date: _____(dd/mm/yyyy)

Place: _____

“Controlling Persons” are the natural person(s) who exercise control over an entity. This definition corresponds to the term “beneficial owner” described under Prevention of Money Laundering Act. In determining the beneficial owner, the procedure specified in the following circular as amended from time to time shall be applied, namely:

- i. DBOD.AML.BC. No.71/14.01.001/2012-13, issued on 18 January 2013 by the Reserve Bank of India; or
- ii. CIR/MIRSD/2/2013, issued on 24 January 2013 by the Securities and Exchange Board of India; or
- iii. IRDA/SDD/GDL/CIR/019/02/2013, issued on 4 February 2013 by the Insurance Regulatory and Development Authority

Where that entity is treated as a Passive Non-Financial Entity (‘Passive NFE’) then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons. In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent or similar position.

For ‘Company’, beneficial owner has a controlling ownership (>25%) or who exercises control through right to appoint majority of the directors or to control the management or policy decisions. For “Partnership Firm” or “Unincorporated Association”, beneficial owner has ownership/entitlement to >15% of capital/profits. (Please refer to Section 4.3.9 in the link <http://www.incometaxindia.gov.in/Lists/Latest%20News/Attachments/117/Guidance-note-as-on-30-11-2016.pdf>)

Note: If there are no natural person(s) who exercise control of the Entity then the Controlling Person(s) will be the natural person(s) who hold the position of Senior Managing Official

Experience	Number of years of Investment / Trading Experience_____
Gross Annual Income	☐ Below 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs OR Net Worth in (*Net worth should be not older than1 year) as on date_____
PEP	☐ Politically Exposed Person ☐ Related to a Politically Exposed Person ☐ Not a Politically Exposed Person (PEP) ☐ Not related to a Politically Exposed Person (PEP) For definition of PEP, please refer guideline relating to Instructions/Checklist for filling KYC form

E. PAST ACTIONS

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

F. DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) OTHER STOCKBROKERS

- If client is dealing through the sub-broker, provide the following details:
 Sub-broker's Name: _____ SEBI Registration number _____
 Registered office address: _____
 Ph: _____ Fax: _____ Website: _____
- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all) Name of Stock broker: _____
- Name of Sub-Broker, if any: _____
 Client Code: _____ Exchange: _____
 Details of disputes/dues pending from/to such stock broker/sub- broker: _____

G. Additional Details

Contract Note	Whether you wish to receive ☐ in Electronic Form ☐ in Physical Form specify the email (*if Different than KYC Form) _____
Standard Documents	Whether you wish to receive ☐ in Electronic Form ☐ in Physical Form
Communication Mode	Whether you wish to receive ☐ in Electronic Form ☐ in Physical Form

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____

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

Address and phone no. of the Introducer: _____

I. 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.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stockbroker and the tariff sheet.
- 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 stockbroker's designated website, if any.
- I am hereby submitting self-certified Aadhar copy with my due consent for opening the above said account associated to my Trading account with Aikyam.
-

 _____

Signature of the Client

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

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

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

Date: _____

 _____
Signature of the Client

CLIENT CATEGORISATION- COMMODITY WISE

The Customer is required to select appropriate category depending upon their proposed nature of activity against each commodity type. Please fill "COMMODITY CLIENT CATEGORISATION" declaration given below:

I / We further confirm that in case of any change in this categorisation, I / we shall update the same with ACPL, and I / We understand that you may be required to disclose the same to Exchanges.

Contract / Commodity	Value chain participants (VCPs) / Hedger	Others	Domestic financial institutional investors	Foreign Participants
Aluminium				
Brent Crude Oil				
Copper				
Crude Oil				
Gold				
Lead				
Natural Gas				
Nickel				
Silver				
Steel				
Zinc				
Steel/ Rebar				

Yours Faithfully,

Client Name: _____

Signature of the Client _____

NERL / CCRL ACCOUNT Details

To be filled and submitted by clients holding NERL / CCRL account

- i. Name Of Clients _____
- ii. Client Address _____
- iii. Pan _____
- iv. Bank Details (other than as mentioned in Annexure 1 Part II):

Bank Name	Branch Address	Bank Account No.	Account Type: Saving/Current/Others	MICR Number	IFSC code

Name of Trading Member: Aikyam Capital Private Limited

Trading Member ID: MCX - 8136

NERL/CCRL Details of client: _____

Sr. No.	Repository Participant Name	NERL/CCRL Participant ID	NERL/CCRL Account No. of Beneficiary

Declaration

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

 _____
Signature of the Client

Place: _____

Date: _____

Note:

- Please provide a certified copy of NERL/CCRL master or a recent NERL/CCRL holding statement issued by a Repository Participant bearing name of Client.
- In case the client has multiple NERL/CCRL account, please provide proof and details of the same.
- In case of PAN provide certified copy of PAN.
- In case of Bank account provide copy of cancelled cheque as proof for all the bank account details provided.

Value Pack - Client Declaration and Consent

Plans	☐ W40	☐ W30	☐ W25	☐ W20	☐ W15	☐ W10	☐ W08	☐ W05	☐ W03
Platform Charges (Rs.)	299	999	2,999	4,999	9,999	14,999	24,999	49,999	99,999
Plan Validity	1 year	1 year	1 year	1 year	1 year	2 years	2 years	3 years	3 years
Equity Delivery	0.40%	0.30%	0.25%	0.20%	0.15%	0.10%	0.075%	0.05%	0.03%
Equity Intraday	0.04%	0.03%	0.025%	0.02%	0.015%	0.01%	0.0075%	0.005%	0.003%
Equity Futures	0.04%	0.03%	0.025%	0.02%	0.015%	0.01%	0.0075%	0.005%	0.003%
Equity Options/Lot (Rs.)	40	30	25	20	15	10	8	7	5
Free Volume*	80,000	3,00,000	9,00,000	15,00,000	20,00,000	50,00,000	1 Crore	3 Crore	10 Crore
Free Volume Benefit Period*	90 days	90 days	90 days	90 days	90 days	180 days	180 days	180 days	360 days

☐ W50 - Standard plan brokerage is 0.50% on Delivery, 0.05% (Intraday and Future) and Option Rs. 50 on Per lot

Declaration & Terms and Conditions

- I/We understand that GST, STT and all other statutory, regulatory, exchange, depository and applicable charges will be charged separately and shall be borne by me/us for transactions executed in my/our trading and demat account, as applicable.
- Any Free Transaction Turnover / Free Cash Delivery benefit is in addition to other eligible offerings, if any. The subscribed plan fee remains payable irrespective of whether I/we trade during the validity period.
- Any research, market information, reports or similar service provided by Aikyam Capital is an add-on/information service only and shall not be construed as an offer, invitation, solicitation, investment advice or recommendation to buy, sell or otherwise deal in securities unless specifically permitted and provided under applicable regulatory framework.
- This plan/scheme shall be read together with and be subject to the Rights and Obligations, Risk Disclosure Document, Policies and Procedures, tariff sheet, account opening documents and other agreements/authorisations accepted by the client.
- Minimum brokerage of Rs. 20/- per order will be applicable for Intraday transaction and for Delivery transaction post utilization of volume / validity or ceiling of 2.50% of transaction value whichever is higher.
- Brokerage of Re. 0.01 will be charged per order/trade wherever free volume conditions are applicable. Once the free volume is utilized or validity is expired, then the discounted brokerage rate will be applicable.
- Where a free volume benefit is applicable, nominal/minimum brokerage may be charged per order/trade only if permitted under the approved tariff and applicable regulations. Once the free benefit is exhausted or its validity expires, the discounted brokerage rate applicable to the subscribed plan will apply.
- Minimum brokerage, maximum brokerage ceilings and order/trade-level charges, if any, will be applied strictly in accordance with Aikyam Capital's approved tariff and applicable exchange/SEBI requirements. In case of any inconsistency, the approved tariff and regulatory requirements will prevail.
- The plan/platform fee is for access to the subscribed pricing/benefit plan and should not be construed as prepaid brokerage. Once activated, the fee is non-refundable and non-transferable.
- If the client opts for another brokerage plan, upgrades the plan, or the plan is modified/discontinued in accordance with applicable requirements, existing benefits may cease or change as per the prevailing terms communicated to the client.
- The brokerage plan opted will be valid till end of tenure and cannot be changed during that period. Upgrade of the plan during the validity period will require the customer to pay the entire value of the new selected plan.
- On expiry of the tenure, if the customer does not subscribe to the fee based plan, the Standard plan would be applicable.
- For detailed disclaimers, product terms, tariff, policies and regulatory disclosures, the client should refer to Aikyam Capital's official account-opening documents and official website/materials as made available from time to time.
- An additional 18% GST will be applicable.

Client Consent

I/We confirm that I/we have read, understood and accepted the above declaration and terms and conditions. I/We authorise Aikyam Capital to debit the applicable plan/platform charges and other charges, as consented and lawfully applicable, from the funds/ledger/bank mandate linked to my/our trading account, subject to applicable regulations and valid authorisations. I/We undertake to maintain sufficient balance/funds for collection of applicable charges. Plan activation will be subject to successful receipt of the applicable fee, completion of required documentation/consent and Aikyam Capital's operational processing.

Name of Client: _____	Application / UCC No.: _____	Selected Plan: _____
Signature: _____	Date: _____	Place: _____

Compliance note: This draft should be vetted by Aikyam Capital's Compliance/Legal team before client circulation or implementation.

MFSS (MUTUAL FUND) / STAR MF FACILITY ACTIVATION



To,

Aikyam Capital Private Limited,
1203, 12th Floor, Lotus Link Square,
D.N Nagar Metro Station, New Link
Road, Andheri (W), Mumbai - 400053.

Date: _____

Dear Sir,

SUB: MFSS (MUTUAL FUND) / STAR MF FACILITY ACTIVATION

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Rights and Obligations of stock brokers sub-brokers and client for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. / BSE Limited. / MSEI .

I/We am/are interested in availing the facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with. For the purpose of availing the facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose and I/we further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions as mentioned in the SEBI circular no SEBI/IMD/CIR No. 11/183204/2009 dated November 13, 2009, Exchange circular no NSE/MFSS/003/2009 dated November 24, 2009 and any other related circulars issued from time to time by the Exchange, SEBI, AMFI and other regulators. I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understood the contents of the of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions for using MFSS facility, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the _____
(please specify MFSS / BSE Star MF).

Authorised Signatory & Company Stamp

Place: _____

Date: _____

AUTHORITY LETTER FOR ADJUSTMENT OF FUNDS AND SHARES ACROSS ALL SEGMENTS AND MAINTAINING RUNNING ACCOUNT

To,

Date: _____

Aikyam Capital Private Limited,
1203, 12th Floor, Lotus Link Square,
D.N Nagar Metro Station, New Link Road,
Andheri (W), Mumbai - 400053.

Unique Client Code No: _____

Respected Sir,

I/We _____ have entered Mandatory & Voluntary Client Registration Documents/Rights and obligations sheet prescribed for trading on NSE, BSE and MSEI and investing in primary market products. Pursuant to completion of registration formalities I/we wish to commence trading on: ☐ NSE, ☐ BSE, ☐ MSEI all segments including Mutual Fund Primary Market products.

I/We hereby wilfully and unconditionally issue following standing instructions with reference to personal discussion between us for my/our operational convenience.

I / we will make payments to you for bills raised by you. I/we am/ are agreeable for maintaining running account and instruct you that no Cheque / Shares be issued to me / us towards credit balance in my account, unless specifically demanded by me / us and only to the extent of amount demanded by me / us.

I / we are agreeable that the unencumbered credit balance of funds and shares etc. lying in my/our account be treated as margin across the segments and products that I/we have registered for and also allowed to be transferred towards adjustment of any debit balance in my/our account.

I / we am / are agreeable for utilization of unencumbered balance lying in my/our account to be utilized while applying for Primary market products etc. as authorized by me/us.

I / we am / are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities in the future /past settlements.

I / we am / are agreeable for and authorise you to withheld funds pay-out towards all the applicable margins and debits.

I/We authorize ACPL to retain an amount up to Rs 10,000 (consolidated amount across segment and across stock exchanges wherever I/we am/are registered with you) for settlement of funds and securities of that respective traded quarter/month in context of NSE circular no. NSE/INSP/24849 dated 29.10.2013, BSE notice no. 20131029-15 dated 29.10.2013 and MSEI circular no. 1552 dated 30.10.2013.

To debit my /our any account(s) towards monies/fees/charges etc. by virtue of my/our using/subscribing to any of the facilities/ services provided to me or sought by me/us.

I shall inform Aikyam Capital Private Limited in writing if there is any change in my email id.



Authorised Signatory & Company Stamp

VOLUNTARY AUTHORISATION LETTER

To,
Aikyam Capital Private Limited,
1203, 12th Floor, Lotus Link Square,
D.N Nagar Metro Station, New Link Road,
Andheri (W), Mumbai - 400053.

Date: _____

Dear Sir,

Sub: Voluntary Authorisation Letter

This authority can be revoked by me / us at any point of time.

In case of any wrong entry flowing into any wrong account due to mistake on the part of me/us (client), Aikyam Financial Services Private Limited shall not accept any responsibility /consequences relating thereto. Rejection/Deactivation of facility of payout of funds through Net Banking EFT/RTGS/NEFT etc. to me/us (client) at the discretion of the Aikyam Financial Services Private Limited. Aikyam Financial Services Private Limited not bear any responsibility of any system failure or payment not being credited /delayed /reflected in the client's account due to any technical or any other reason beyond its control.

Client agrees to receive contract notes in Electronic /Digital Form (ECN) authenticated by means of a digital signature in lieu of physical contract notes through e-mail by authorizing Aikyam Financial Services Private Limited in this connection and providing the e-mail address(es) at which client wishes the ECN to be sent.

Pledge /deposit my /our securities & funds whether deposited as collateral /margin or permitted by us to be retained account by you with Exchange/Clearing Corporation/Clearing House /NBFC/ Lender/Bank for the purposes of raising funds, assignment of contract or any other liability arising out of my/our dealing with you through you. I/We authorized you to do all such acts, deeds and things as may be necessary and expedient for placing such securities with the Exchanges as margin. You are further authorized to sell liquidate these securities /FDRs at the time and manner of your choice, as and when deemed fit by you in your absolute discretion to meet any shortfalls in my / our accounts or any other liability of mine /ours without any reference to me/us.

I / We am aware that the above-mentioned points are voluntary and I have an authority to set aside or revoke any of them anytime whenever I / we want to. These standing instructions are valid from the date the account is opened and will be valid until revoked.

I/We instruct you to settle my account on ☐ monthly basis ☐ quarterly basis.

I / We have read, received and understood Rights & obligations sheet, policies and Risk disclosure documents prescribed by Exchange.

Thanking You,
Yours Faithfully,



Authorised Signatory & Company Stamp

Place: _____

Annexure A

Most Important Terms and Conditions (MITC)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favour of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, net worth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.



Authorised Signatory & Company Stamp

Place: _____

VOLUNTARY CLAUSES

The client agrees to the following voluntary terms and conditions to ensure the smooth functioning of operations in the course of trading/investing in securities through ACPL:

- Aikyam Capital Private Limited carries out Proprietary (Prop) Trading activities in accordance with applicable regulatory guidelines.
- The Client confirms having read, understood, and accepted ACPL's prevailing RMS and other applicable policies. The Client agrees to stay updated with any revisions issued from time to time, which may be communicated via the ACPL website or the registered email address. ACPL reserves the right to amend or introduce terms in line with applicable laws, regulations, or internal policies.
- The Client agrees that ACPL shall not be responsible for any partial execution of orders placed by the Client. The Client further agrees that all orders placed shall be treated as valid only for that trading session. If the Client wishes to carry forward or extend any order for the day or for subsequent days, the same must be communicated to ACPL.
- The Client hereby agrees and understands that in case of any noncompliance and /or default by the Client such as cheque bouncing, client code modification, margin shortage, UCC violation, price rigging or for any other matters as may be decided by ACPL from time to time, without prejudice to ACPL's other rights, ACPL may levy charges/penalty(ies) on the client and debit such charges / penalty(ies) in the client account which has been imposed by Regulatory Authorities. Margin shortfall penalty as well as any other penalty levied by Exchange(s) / Regulators shall be recovered from the client as per prevailing regulatory guidelines from time to time.
- Suspension/deactivation of trading activities for non-payment of amounts due from the Client including margin money. The Client is aware that the Client is required to make full payment to ACPL for the execution of the contract on the day of execution of trade. The Client explicitly agrees and authorizes ACPL to suspend/deactivate his/her accounts for nonpayment of the above stated dues and such other amounts as may be due from the Client from time to time with prior notice or under intimation to the client.
- I/We hereby authorize ACPL to consider and rely upon KYC data such as Proof of Identity (POI), Proof of Address (POA), and any other information downloaded from sources such as CVL, KRA, and CERSAI.
- The Client shall access contract notes and trade confirmations electronically on the trade date. The Client understands that it is his/her/their responsibility to review all confirmations, contract notes, statements, notices, and other communications, including but not limited to margin and maintenance calls. All information contained therein shall be deemed binding on the Client unless an objection is raised via email within a reasonable time from the date of execution of the trade.
- The Client agrees that any applicable account opening charges for equity/commodity trading shall be debited to the Client's ledger account after account activation. The ledger entry shall be considered sufficient acknowledgment of the receipt of such charges, and the Client understands that no separate receipt will be issued in this regard.
- The client agrees that all dues, including purchase value, brokerage, taxes, margins, penalties, interest, and other regulatory charges, shall be debited to their account, and penalties imposed by Exchanges or regulators will be recovered on an actual basis. Payments must be made via cheque or fund transfer in favor of Aikyam Capital Private Ltd. from the client's registered bank account, and will be considered only upon realization, with trades executed post credit. The client undertakes to maintain required margins in funds or approved securities, failing which ACPL may square off positions or liquidate pledged collateral to recover dues. ACPL has the right to determine eligible collateral, apply lien on client assets, set off balances across segments, adjust pending payouts against obligations, and close positions in case of default, with all related expenses borne by the client; collateral will be released after clearing all liabilities, including in case of account closure or disputes.
- The client agrees to ensure that sufficient shares or commodities are available before placing any sale order and acknowledges that any loss arising from auction or closeout due to non-delivery or non-clearance of securities in ACPL's account shall be borne by the client; the client further agrees to bear losses resulting from auctions caused by incomplete, unclear, illegible, or delayed instructions.
- I/We hereby agree that I/We have read and understood all the above policies and procedures of AIKYAM as applicable to my trading account. I/We understand that the above policies and procedures are subject to change / updation by AIKYAM from time to time. The updated policies and procedures of AIKYAM shall be posted on the website of <https://rootbyaikyam.com> I/We undertake to refer to the updated policies and procedures and abide by the same.
- The client hereby authorizes ACPL to transfer shares or commodities from its pool account to the client's account, and thereafter to transfer or pledge the same towards margin or any other account for pay-in obligations relating to securities or commodities purchased in previous settlements. However, if the client does not wish such inter-settlement transfers to be executed, the client must inform ACPL in writing at least 48 hours prior to the pay-in date; failing receipt of such instructions, or in case of incorrect settlement details, ACPL shall not be held responsible for any resulting in notional or real losses.

MANDATORY POLICIES AND PROCEDURES APPLICABLE TO CLIENTS OF AIKYAM CAPITAL PRIVATE LIMITED.

1. REFUSAL OF ORDERS FOR PENNY STOCKS

Aikyam Capital Pvt. Ltd. ("AIKYAM") normally offers trading facility to its clients in all the compulsorily dematerialized stocks which are listed on the Stock Exchanges. However, AIKYAM discourages / restricts trading in penny stocks by the clients as they are susceptible to manipulation and risk for investors and in turn to AIKYAM.

"Penny Stocks" for this purpose shall include:

- a. Stocks appearing in the list of illiquid securities issued by the Exchanges from time to time.
- b. Stocks which are highly illiquid and have low market capitalization and 'Z' Group Securities.
- c. Any securities as may be restricted for trading by Exchanges.
- d. Any other securities may be restricted for trading by AIKYAM based on its internal evaluation.

As a part of Risk Management System, AIKYAM restricts clients to buy / sell in penny stocks only on the basis of 100% upfront margin and on delivery basis. Also trading in penny stocks may be permitted only upto quantity / value together as notified by its extant circulars. Further in case of Internet Trading clients, AIKYAM may at any time at its sole discretion block / restrict the client's online trading terminal to prevent the client from placing orders in such penny stocks through the Online Trading Platform of AIKYAM. Further, case the client is able to place an order for penny stocks which are restricted by AIKYAM through Online Trading Platform or otherwise, AIKYAM may not accept such order.

AIKYAM shall not be held liable for restricting / prohibiting trade in penny stocks at any time. Further AIKYAM shall not be held liable or responsible in any manner whatsoever for any refusal/cancellation of orders for trading in penny stocks/other securities and the Client shall indemnify AIKYAM in respect of any loss caused to AIKYAM by virtue of the Client trading in penny stocks.

2. SETTING UP OF CLIENT'S EXPOSURE LIMITS

As part of risk management, Aiikyam Capital Pvt. Ltd. ("AIKYAM") shall set client's exposure limits depending on the type of securities provided as Margin / available funds in the client's ledger and the client profile/ financial status. Exposure limits are also set based on categories of stocks / position (derivatives) clients can trade. Securities that are acceptable as margin and their categorization may be changed by AIKYAM from time to time at its sole discretion. Further client categorization may also be changed based on various factors including trading pattern of clients, profile / residential status / financial status of client.

AIKYAM from time to time shall apply such haircuts as may be decided by AIKYAM on the approved securities against which the Exposure limits are given to the client. AIKYAM may from time to time change the applicable hair cut or apply a haircut higher than that specified by the Regulators/Exchanges as part of its Risk Management System.

Subject to the client's exposure limits, client may trade in securities and / or take positions in the futures and options segment. Clients shall abide by the exposure limits, if any, set by AIKYAM or by the Exchange or Clearing Corporation or SEBI from time to time. Limits/Exposure provided shall vary based on the intraday/ delivery / carry forward positions made by the client.

The exposure limits set by AIKYAM does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate AIKYAM in the event of AIKYAM suffering any loss, harm or injury on account of exposure given and/or withdrawn.

In case of sale of Securities, such sale may at the discretion of AIKYAM be provided only to the extent of the availability of securities in the account of the client (DP free Stock, DP lien/hold marked securities, beneficiary and collateral stock). Further the credit received against sale may be used for exposure as may be decided by AIKYAM from time to time.

In case of derivatives, Clients shall be allowed to trade only up to the applicable client wise position limits set by the Exchanges/Regulators from time to time. AIKYAM may from time-to-time demand additional margin from the client in the form of funds or securities if there is a requirement for the same and the client shall be required to provide the same.

3. APPLICABLE BROKERAGE RATES

The Schedule of Brokerage and other charges leviable by AIKYAM on the clients are provide under the heading "Schedule of Brokerage and Other Charges" in this Form. Within the mentioned scale, the brokerage and other charges as agreed by the client is indicated and duly signed by the client in that section. However, all the brokerage and other charges are subject to the maximum limits as prescribed by SEBI / Exchanges/ Government and other Regulatory authorities from time to time.

4. IMPOSITION OF PENALTY OR DELAYED PAYMENT CHARGES

The clients are required to settle the pay-in / provide margin within the time limits provided by Exchanges / SEBI/AIKYAM risk management system. In case the client fails to provide the same within the prescribed time, delayed payment charges shall be levied on the client's account on any delayed payments towards trading either in the cash or derivatives segments or on account of any other reason beyond the due date of payment as may be prescribed by AIKYAM. Such delayed payment charges shall be directly debited to the account of the Client at the end of every month. This is only a penal measure and brings in discipline in the clients to clear the dues in time as AIKYAM had to clear its obligations to the Exchange as per the time limits set by the Exchanges. In case the client does not pay the amount due on time, the stock broker shall charge Interest on outstanding debits & margins up to the rate of 2% per month on the daily outstanding value or at such rates as may be determined from time to time by the Aiikyam. Interest will be charged from the time it become

due till the time obligation is cleared by the client, based on clear credit available in the account. AIKYAM reserves the right of imposition of delayed payment charges on the client account, and the client shall be liable for payment of such charges at such rate as may be prescribed by AIKYAM from time to time.

5. RIGHT TO SELL CLIENTS SECURITIES OR CLOSE CLIENTS' POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT ON ACCOUNT OF NON-PAYMENT OF DUES.

As a part of its Risk Management System, AIKYAM shall have the sole discretion to square off the open position of the Client and / or sell clients' securities (including securities maintained as margin with AIKYAM and securities lying in client's beneficiary / demat account) in case the client fails to meet its payment obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by AIKYAM. Further, the square off of client's open position or the selling of securities may be executed on such Exchanges and at such price as may be decided by AIKYAM. AIKYAM shall not be responsible for any losses incurred by the client due to such squaring off of the open position of the client. AIKYAM reserves the right to square off client's open positions or sell clients' securities under following circumstances: where the limits given to the Client have been breached;

- a. where the Client has defaulted on their existing obligation and / or have failed to make payments/deliver securities to AIKYAM within the stipulated time period as may be prescribed by AIKYAM.
- b. In addition to above, in case of equity and currency derivatives transactions,
 - i. where the margin or security placed by the Client with AIKYAM falls short of the applicable minimum margin as may be required to be maintained by the client;
 - ii. where Mark to Market Loss on the open position has reached the stipulated % of the margins placed with AIKYAM and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss;
 - iii. if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.

AIKYAM reserves the right to square off the open position of client and / or sell client's securities under the prescribed circumstances, however AIKYAM is not obligated and does not guarantee to square off the open positions and / or sell client's securities. The client shall be solely responsible for the trading decisions taken by the client. It shall be the responsibility of the client to make payments towards outstanding obligations and /or applicable margins to AIKYAM in time irrespective of whether AIKYAM exercises its right to square off the positions of the client in accordance with the provisions given herein above.

Client shall be solely responsible for any resultant losses incurred to client due to selling of client's securities by AIKYAM or squaring off the client's open positions or for not doing so. All losses in this regard shall be borne by the CLIENT and AIKYAM shall be fully indemnified and held harmless by the CLIENT in this behalf.

The CLIENT accepts to comply with AIKYAM's requirement of payment of Margin/settlement obligations of the Client, immediately failing which AIKYAM may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin/lying in the beneficiary account of AIKYAM or square-off all or some of the outstanding F&O positions of the CLIENT as it deems fit at its sole discretion without further reference to the CLIENT and any resultant or associated losses that may occur due to such square -off/sale shall be borne by the CLIENT and AIKYAM shall be fully indemnified and held harmless by the CLIENT in this behalf at all times.

6. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES

In case the client defaults on its existing obligation and in the event the trade has been internally netted off by AIKYAM, there could be internal shortages. The internal shortages are marked against the client randomly at the sole discretion of AIKYAM taking into account the delivery obligations through Exchanges. In case of failure of delivery the client marked for internal netting of trade, the same shall be met through fresh market purchases and the loss on account of the said purchases will be charged to the defaulting client's account. However, defaulting client will not be eligible for any profit on account of this. AIKYAM shall not be responsible for losses to the Client on account of such shortages. All losses to the client on this account shall be borne solely by the client and the Client shall indemnify AIKYAM in this respect.

7. CONDITIONS UNDER WHICH CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITIONS OR AIKYAM MAY CLOSE EXISTING POSITIONS OF CLIENT

In addition to the conditions as provided under the policy of right to sell securities and close out client's open position as detailed in point 1 and 5 above, AIKYAM shall have the right to refuse to execute trades/allow the client to take further positions and / or close out the existing positions of client under following circumstances:

- 1) As a result of any Regulatory directive / restriction;
- a. Non-receipt of funds / securities and / or bouncing of cheque received from the client towards the obligations/ margin/ ledger balances;
- b. Due to technical reasons;
- c. securities breaching the limits specified by the Exchanges/regulators from time to time
- d. in case of failure to meet margin including mark to market margins by the client;
- e. In case securities to be transacted by client are not in dematerialized form
- f. Any other conditions as may be specified by AIKYAM from time to time in view of market conditions, regulatory requirements, internal policies etc and risk management system;

g. Due to any force majeure event beyond the control of AIKYAM

AIKYAM shall not be responsible for any loss incurred and the client shall indemnify AIKYAM in this regard.

8. TEMPORARILY SUSPENDING OR CLOSING OF CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST

Client can initiate temporary suspension / closure of its account at any time by giving a request to AIKYAM in writing 15 days in advance. However, such suspension / closure will be effected subject to clearance of all dues and settlement obligations by the client. Trades in the account of the client during the period of such temporary suspension shall not be permitted. Notwithstanding any such suspension / closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure / suspension shall continue to subsist and binding on the client. In case the account has been temporarily suspended at the request of the client, the account shall be reactivated only on submission of a written request for reactivation by the client.

9. DEREGISTRATION OF A CLIENT

AIKYAM may suspend or close the trading account of the client pursuant to SEBI or any other Regulatory directive for such period as may be prescribed by the respective Regulator. AIKYAM may further at its sole discretion and with/ without information to the CLIENT, prohibit or restrict or block the CLIENT's access to the use of the web site or related services and the CLIENT's ability to trade due to market conditions and other internal policies including policy with respect to prevention of money laundering.

Deregistration of the client /Termination shall be at the sole discretion of AIKYAM. AIKYAM may deregister the client if the client breaches the terms and conditions of the member–client agreement or provides any false information or declarations. Further AIKYAM may deregister the client if the client is suspected to be involved in any activities in violation of applicable Rules and Regulations. Further the client may be deregistered due to any Regulatory directive, market conditions and other internal policies of AIKYAM including policy with respect to prevention of money laundering. Such deregistration/termination shall not affect the rights and liabilities of the parties in respect of the transactions executed before the date of such deregistration/termination.

10. TREATMENT OF INACTIVE ACCOUNTS

Dormancy of Trading Account

Clients who have not carried out any trading activity for a continuous period of 12 months shall be classified as Dormant. The Dormant account will be reactivated upon receipt of a request from the client's registered email ID, subject to KYC verification and due diligence as per Aikyam Capital Private Limited. If no request for reactivation or trading is received from the client for a further period of 12 months from the date of being marked Dormant and Non-traded for the 24 months, the account shall be classified as Inactive across all applicable segments.

Reactivation of Inactive Account

For reactivation of an account classified as Inactive, the client shall be required to undergo the applicable Re-KYC and reactivation process. The account shall be reactivated only upon satisfactory completion of the applicable Re-KYC, due diligence and compliance requirements, and after obtaining all necessary documents as prescribed by the Company and applicable regulatory requirements.

11. Client Consent Form

Aikyam Capital Private Limited (hereinafter referred as 'ACPL'), a company incorporated under the provisions of the Companies Act, 2013 (CIN: U67100MH2022PTC394087), having its Registered Office at 1203, 12th Floor, Lotus Link Square, D.N Nagar Metro Station, New Link Road, Andheri (West), Mumbai - 400053, India, values privacy of the Individuals as our top priority and commitment, in the work that we do and, in our recording and use of your personal information. In order to comply with Indian and global laws and regulations, compliance with KYC (Know your customer) regime and to nurture our association, we would be collecting and using personal data. For this data collection and its use, we need your explicit consent.

The sole purpose of processing* your personal data is to facilitate services being offered by ACPL or its affiliates to you (please refer to our website <https://www.rootbyaikyam.com/> for the services being offered by ACPL). For purposes of providing services, your personal data will be shared with the regulators and business associates and the same will flow beyond the control of ACPL. This sharing may also be necessitated now or in future as per the requirement and in accordance with the applicable laws / regulations in India and outside India, as may be amended from time to time.

Customer Consent for Use of Personal Data:

I have read and understood the processing requirement with respect to my personal data as listed above and provide my unequivocal, free, specific and informed consent to the above by signing on the space provided below.

If I need to withdraw my consent with respect to usage of my personal data under ACPL's purview, excluding data which has already been shared with the authorities, regulators or business associates and outside the control of ACPL at that time, I will inform ACPL of my intention in writing requesting ACPL to take necessary action as per ACPL's policies and timelines.

I also confirm that ACPL, while accepting my request for withdrawal of consent, will be allowed to keep such personal information as required by the applicable laws and regulations for history and record keeping purposes for a specified period of time.

By signing below, I/we hereby consent to the collection, use, processing, storage and sharing of my/our personal information by Aikyam Capital Private Limited ("ACPL"), now and in the future, for the purpose of providing services, conducting business,

complying with applicable laws and regulations, and sharing such information with its affiliates, business associates, service providers, stock exchanges, depositories, regulators, government authorities or any other person or authority as may be required or permitted under the applicable laws, rules, regulations and statutes of India or any other jurisdiction, as amended from time to time.

13. The Client is informed that Aikyam Capital private Limited do carry Proprietary trading.

Aikyam Capital Private Limited carries out Proprietary (Prop) Trading activities in accordance with applicable regulatory guidelines.

Client acceptance of policies and procedures mentioned here in above –I / We have fully understood and agree to sign the same. Above policies and procedures may be amended / changed unilaterally by the stock broker provided the same is intimated via email / writing or reflected in the website.



Signature of the Client

Rights and Obligations of the Beneficial Owner and Depository Participant General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/ directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions

13. The DP shall execute 'non-pay in' related instructions not later than next working day from the date of submission of instruction by the Beneficial Owner. Further, if the date of submission and the execution date of instruction are same, DP may execute such instructions on the same day at Beneficial owner's risk on a "best effort basis".

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository.

Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

25. In case of any statutory order for freezing of demat account of any one joint holder, the demat account will be frozen and the other joint holder(s) will have to obtain specific order from the relevant order issuing authority for unfreezing the holdings in respect of their percentage of joint ownership.

Redressal of Investor grievance

26. 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

27. 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

28. 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.
29. 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.
30. 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.
31. 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.
32. 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.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

RIGHTS AND OBLIGATIONS OF AIKYAM CAPITAL PRIVATE LIMITED, 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 Aikyam, 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 Aikyam to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the Aikyam and the client shall from time to time continue to satisfy itself of such capability of the Aikyam before executing orders through the Aikyam.
4. The stockbroker 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 stockbroker shall take steps to make the client aware of the precise nature of the Aikyam's liability for business to be conducted, including any limitations, the liability and the capacity in which the Aikyam acts.
6. They shall provide necessary assistance and co-operate with the Aikyam in all its dealings with the client(s).
- 7.

CLIENT INFORMATION

8. 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.
9. 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.
10. 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.
11. The stock broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

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

13. 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 SETTLEMENT

14. 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.
15. 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.
16. 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.
17. 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).
18. 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

19. 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

20. 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.
21. 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.
22. 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

23. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
24. 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.
25. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to conciliation/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.
26. The stock broker shall ensure faster settlement of any dispute through conciliation/arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the conciliation report/settlement agreement /arbitration awards made in such proceedings.
27. 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

28. The 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.
29. The stock broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
30. In the event of demise/insolvency of the stock broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the stock broker by the stock exchange and/or termination of the agreement with 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, 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

31. 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.
32. 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.
33. The stock broker shall issue a contract note to its client for trade 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.
34. 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.
35. 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.
36. 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.
37. 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.
38. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

39. 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.
40. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable 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.
41. 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.
42. 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.

43. 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 either a physical contract note to the client or an ECN through electronic instant messaging services within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
44. 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

45. In addition to the specific rights set out in this document, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
46. 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.
47. The stock broker and the client shall abide by conciliation report/settlement agreement/arbitration award passed by the conciliator/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.
48. 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.
49. 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.
50. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

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

ROOT by Aikyam ("ROOT", "App", "Application" or "Platform") is a mobile and web-based software application developed and operated for providing users with digital access to securities market, onboarding, investment, trading, mutual fund and other wealth-related products and services, as may be enabled from time to time.

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.
1. 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.
2. 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.
3. 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.

4. 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
5. 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.
6. 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.
7. 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.
8. 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.
9. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective clients 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 impact. 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.

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.

1.2.1. 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 Rumours:

Rumours 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 The Client understands the risk associated with provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology.

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 terms and conditions: -

2.1. Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

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

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

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the marketplace. 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 to 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 to 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. GENERAL

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

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

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

BEFORE YOU BEGIN TO TRADE

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

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.

9. Don't share your internet trading account's password with anyone.

10. Don't make any payment in cash to the stock broker.

11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.

12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.

13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:

a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of

accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in cash market.
- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

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

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

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

DISPUTES/ COMPLAINTS

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

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

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

RISK DISCLOSURE DOCUMENT – COMMODITY SEGMENT

The Exchange does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange endorsed or passed any merits of participating in the Commodity Derivatives /trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it. In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that investment in commodity futures contracts / derivatives or other instruments traded on the Commodity Exchange(s), 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 the Exchange and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Client 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 commodity derivatives being traded on the Exchange.

It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by SEBI from time to time and circulars as may

be issued by the Exchange from time to time.

The Exchange 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 member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment 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, you should be aware of or must get acquainted with the following:

1. Basic Risks involved in the trading of Commodity Futures Contracts and other Commodity Derivatives Instruments on the Exchange.

i. Risk of Higher Volatility

Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ 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 real losses.

ii. Risk of Lower Liquidity

- a. Liquidity refers to the ability of market participants to buy and/ or sell commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number 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 commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative 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.
- b. Buying/ Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses, because in such a situation, commodity derivative contracts may have to be squared off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such commodities.

iii. Risk of Wider Spreads

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

iv. Risk-reducing orders

- a. Most of the Exchanges have a facility for investors to place "limit orders", "stop loss orders" etc. Placing of such 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.
- b. 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 commodity derivatives contract.
- c. A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the client received price protection, there is a possibility that the order may not be executed at all.
- d. A stop loss order is generally placed "away" from the current price of a commodity derivatives contract, and such order gets activated if and when the 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 contract approaches 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 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.

v. Risk of News Announcements

- a. Traders / Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives contracts. These announcements 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 commodity / commodity derivatives contract.

vi. Risk of Rumours

- a. Rumours about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours.

vii. System Risk

- a. 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.
- b. 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 execution of order and its confirmation.
- c. 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 commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason.

viii. System/ Network Congestion

- a. Trading on the Exchange is in electronic mode, based on satellite / leased line 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 the control of 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 Futures Commodity Derivatives are concerned, please note and get yourself acquainted with the following additional features: -

2.1 Effect of "Leverage" or "Gearing":

- a. a. The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are 'leveraged' or 'geared'. Commodity Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while taking into account one's circumstances, financial resources, etc.
- b. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss(notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.
- c. c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate / square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/ Close Outs.
- d. Under certain market conditions, an Investor may find it difficult or impossible to execute the 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.
- e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- f. You must ask your Member of the Exchange to provide the full details of the commodity derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

3. TRADING THROUGH WIRELESS TECHNOLOGY OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology or any other technology should be brought to the notice of the client by the member.

4. GENERAL:

i. Deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

ii. Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

iii. For rights and obligations of the Members / Authorised Persons / clients, please refer to **Annexure 3**

iv. The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the Exchange.

v. The term 'member' shall mean and include a Trading Member or a Member/Broker, who has been admitted as such by the Exchange and got a registration certificate from SEBI.

RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORIZED PERSONS AND CLIENTS

(as prescribed by SEBI and Commodity Exchanges)

1. The client shall invest / trade in those commodities /contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Business Rules/ Regulations of Exchanges/SEBI and circulars/notices issued there under from time to time.
2. The Member, Authorized Person and the client shall be bound by all the Rules, Byelaws and Business Rules 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 himself of the capacity of the Member to deal in commodities and/or deal in derivatives contracts and wishes to execute its orders through the Member and the client shall from time to time continue to satisfy itself of such capability of the Member before executing orders through the Member.
4. The Member 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 Member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the Member acts.

6. Requirements of professional diligence

- a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.
- b. "Professional Diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with-
 - i. honest market practice;
 - ii. the principle of good faith;
 - iii. level of knowledge, experience and expertise of the Client;
 - iv. the nature and degree of risk embodied in the financial product* or financial service being availed by the Client; and
 - v. the extent of dependence of the Client on the Member.

*Commodity derivative contract

7. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).

CLIENT

8. The client shall furnish all such details in full as are required by the Member in "Account Opening Form" with supporting details, made mandatory by commodity exchanges/SEBI from time to time.

9. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the Member shall be non-mandatory; therefore, subject to specific acceptance by the client.

10. The client shall immediately notify the Member 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 Member on a periodic basis.

11. A. Protection from unfair terms in financial contracts**

- a. An unfair term of a non-negotiated contract will be void.
 - b. A term is unfair if it -
 - i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
 - ii. is not reasonably necessary to protect the legitimate interests of the Member.
 - c. The factors to be taken into account while determining whether a term is unfair, include -
 - i. the nature of the financial product or financial service dealt with under the financial contract;
 - ii. the extent of transparency of the term;
- **contracts offered by commodity exchanges**
- iii. the extent to which the term allows a Client to compare it with other financial contracts for similar financial products or financial services; and
 - iv. the financial contract as a whole and the terms of any other contract on which it is dependent.
- d. A term is transparent if it -
 - i. is expressed in reasonably plain language that is likely to be understood by the Client;
 - ii. is legible and presented clearly; and
 - iii. is readily available to the Client affected by the term.
 - e. If a term of a financial contract is determined to be unfair under point 11.A.c, the parties will continue to be bound by the remaining terms of the financial contract to the extent that the financial contract is capable of enforcement without the unfair term.

11. B.

- a. "Non-negotiated contract" means a contract whose terms, other than the terms contained in point 11.C. (given below) are not negotiated between the parties to the financial contract and includes -
 - i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and
 - ii. a standard form contract.
- b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client, except for the terms contained in point 11.C.
- c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a non-negotiated contract if so indicated by -
 - i. an overall and substantial assessment of the financial contract; and
 - ii. the substantial circumstances surrounding the financial contract
- c. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member.

11. C.

- a. The above does not apply to a term of a financial contract if it -
 - i. defines the subject matter of the financial contract;
 - ii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or
 - iii. is required, or expressly permitted, under any law or regulations.
- b. The exemption under point 11.C does not apply to a term that deals with the payment of an amount which is contingent on the occurrence or non-occurrence of any particular event.

12. The Member and Authorized Person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the Member may so disclose information about his client to any person or authority with the express permission of the client.

13. A. Protection of personal information and confidentiality

- a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes -

- i. name and contact information;
- ii. biometric information, in case of individuals
- iii. information relating to transactions in, or holdings of, financial products
- iv. information relating to the use of financial services; or
- v. such other information as may be specified.

13. B.

a. A Member must -

- i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;
- ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted under point 13.B.b.;
- iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;
- iv. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the Regulator may specify; and
- v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.

b. A Member may disclose personal information relating to a Client to a third party only if -

- i. it has obtained prior written informed consent of the Client for the disclosure, after giving the Client an effective opportunity to refuse consent;
- ii. the Client has directed the disclosure to be made;
- iii. the Regulator has approved or ordered the disclosure, and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
- iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
- v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the Member –
 - 1. informs the Client in advance that the personal information may be shared with a third party; and
 - 2. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this Part; or
- vi. the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the Member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this Part. –

c. "Third party" means any person other than the concerned Member, including a person belonging to the same group as the Member.

14. A. Requirement of fair disclosure both initially and on continuing basis

- a. Member must ensure fair disclosure of information that is likely to be required by a Client to make an informed transactional decision.
- b. In order to constitute fair disclosure, the information must be provided -
 - i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and
 - iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services.

c. The types of information that must be disclosed to a client in relation to a financial product or financial service, which may include information regarding -

- i. main characteristics of the financial product or financial service, including its features, benefits and risks to the Client;
- ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
- iii. existence, exclusion or effect of any term in the financial product or financial contract;
- iv. nature, attributes and rights of the Member, including its identity, regulatory status and affiliations;
- v. contact details of the Member and the methods of communication to be used between the Member and the Client;
- vi. rights of the Client to rescind a financial contract within a specified period; or
- vii. rights of the Client under any law or regulations.

14.B.

a. Member must provide a client that is availing a financial product or financial service provided by it, with the following continuing disclosures -

- i. any material change to the information that was required to be disclosed under point 14.A at the time when the Client initially availed the financial product or financial service;
 - ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and
 - iii. any other information that may be specified.
- b. A continuing disclosure must be made -
- i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.

MARGINS

15. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Member 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 Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

16. 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

17. The client shall give any order for buy or sell of commodities derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

18. The Member 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 commodity exchange where the trade is executed.

19. The Member shall ensure that the money 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 Member for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, circulars, notices, guidelines of SEBI and/or Rules, Business Rules, Bye-laws, circulars and notices of Exchange.

20. 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, Member shall be entitled to cancel the respective contract(s) with client(s).

21. The transactions executed on the Exchange are subject to Rules, Byelaws and Business Rules 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 Business Rules of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Business Rules of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

22. The Client shall pay to the Member 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 Member renders to the Client. The Member shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Business Rules and Bye-laws of the relevant commodity exchanges and/or Rules of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

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

24. 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 commodities which the client has ordered to be bought or sold, Member 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/commodities in Favor of a Nominee shall be valid discharge by the Member against the legal heir.

DISPUTE RESOLUTION

25. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.

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

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

28. Requirement for each Member to have an effective grievance redress mechanism which is accessible to all its Clients

- a) A Member must have in place an effective mechanism to receive and redress complaints from its Clients in relation to financial products or financial services provided by it, or on its behalf, in a prompt and fair manner.
- b) A Member must inform a client, at the commencement of relationship with the Client and at such other time when the information is likely to be required by the Client, of –
 - i. the Client's right to seek redress for any complaints; and
 - ii. the processes followed by the Member to receive and redress complaints from its Clients.

29. A. Suitability of advice for the Client

Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Client's financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.

- a. A Member must –
 - i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and
 - ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.
- b. If it is reasonably apparent to the Member that the available information regarding the relevant personal circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.
- c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member –
 - i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and
 - ii. may provide the financial product or financial service requested by the Client only after complying with point 29.A.a and obtaining a written acknowledgement from the Client.

30. Dealing with conflict of interest

In case of any conflict between the interests of a Client and that of the Member, preference must be given to the Client's interests.

- a. A member must –
 - i. provide a Client with information regarding any conflict of interests, including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and
 - ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between –
 - 1. its own interests and the interests of the Client; or
 - 2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative.
- b. The information under point 16a.i. must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgement of the receipt of the information should be obtained from the Client.
- c. In this section, "conflicted remuneration" means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

TERMINATION OF RELATIONSHIP

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

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

33. In the event of demise/insolvency of the Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorized Person by the commodity exchange and/or termination of the agreement with the Authorized Person by the Member, 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 Member and all clauses in the 'Rights and Obligations' document(s) governing the Member, Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

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

35. The Member shall issue a contract note to his clients 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 Member shall send contract notes to the investors within 24 hours of the execution of the trades in hard copy and/or in electronic form using digital signature.

36. The Member shall make pay out of funds or delivery of commodities as per the Exchange Rules, Bye-Laws, Business Rules and Circulars, as the case may be, to the Client on 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.

37. The Member shall send a complete 'Statement of Accounts' for both funds and commodities 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.

38. The Member shall send margin statements to the clients on daily basis. 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, warehouse receipts, securities etc.

39. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member 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.

40. In case, where a member surrenders his/ her/ its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that client lodge a claim with the Exchange within the stipulated period and with the supporting documents.

41. A. Protection from unfair conduct which includes misleading conduct & abusive conduct

- a. Unfair conduct in relation to financial products or financial services is prohibited.
- b. "Unfair conduct" means an act or omission by a Member or its financial representative that significantly impairs, or is likely to significantly impair, the ability of a Client to make an informed transactional decision and includes -
 - i. misleading conduct under point 41.B
 - ii. abusive conduct under point 41.C
 - iii. such other conduct as may be specified.

41.B.

- a. Conduct of a Member or its financial representative in relation to a determinative factor is misleading if it is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise, and the conduct involves -
 - i. providing the Client with inaccurate information or information that the Member or financial representative does not believe to be true; or
 - ii. providing accurate information to the Client in a manner that is deceptive.
- b. In determining whether a conduct is misleading under point 41.B.a, the following factors must be considered to be "determinative factors" -
 - i. the main characteristics of a financial product or financial service, including its features, benefits and risks to the Client;
 - ii. the Client's need for a particular financial product or financial service or its suitability for the Client;
 - iii. the consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
 - iv. the existence, exclusion or effect of any term in a financial contract, which is material term in the context of that financial contract;
 - v. the nature, attributes and rights of the Member, including its identity, regulatory status and affiliations; and
 - vi. the rights of the Client under any law or regulations.

41.C.

- a. A conduct of a Member or its financial representative in relation to a financial product or financial service is abusive if it -
 - i. involves the use of coercion or undue influence; and
 - ii. causes or is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise.
- b. In determining whether a conduct uses coercion or undue influence, the following must be considered -
 - i. the timing, location, nature or persistence of the conduct;
 - ii. the use of threatening or abusive language or behaviour;
 - iii. the exploitation of any particular misfortune or circumstance of the Client, of which the Member is aware, to influence the Client's decision with regard to a financial product or financial service;
 - iv. any non-contractual barriers imposed by the Member where the Client wishes to exercise rights under a financial contract, including -
 - v. the right to terminate the financial contract;
 - vi. the right to switch to another financial product or another Member and
 - vii. a threat to take any action, depending on the circumstances in which the threat is made

ELECTRONIC CONTRACT NOTES (ECN)

42. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id (created by the client) 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.

43. The Member shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable 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.

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

45. The Member 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/circulars/guidelines issued by SEBI/Commodity 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 Member for the specified period under the extant rules/circulars/guidelines issued by SEBI/Commodity 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 Member 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 rules/circulars/guidelines issued by SEBI/Commodity exchanges.

46. The Member 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 Member shall send a physical contract note to the client within the stipulated time under the extant Regulations/ Rules, Bye-Laws, Business Rules and Circulars of SEBI/commodity exchanges and maintain the proof of dispatch and delivery of such physical contract notes.

47. In addition to the e-mail communication of the ECNs to the client, the Member 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.

48. The Electronic Contract Note (ECN) declaration form obtained from the Client who opts to receive the contract note in electronic form. This declaration will remain valid till it is revoked by the client.

LAW AND JURISDICTION

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

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

51. The Member 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, if either party is not satisfied with the arbitration award.

52. 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/Business Rules and circulars/notices issued thereunder of the Exchanges/SEBI.

53. All additional voluntary/non-mandatory clauses/document added by the Member should not be in contravention with Rules/Business Rules/Notices/Circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 5 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

54. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of SEBI or Bye-laws, Rules and Business Rules of the relevant commodity 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.

55. Members are required to send account statement to their clients every month

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS 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. Member is eligible for providing Internet based trading (IBT) and commodities 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 Member shall comply with all requirements applicable to internet based trading/- commodities 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 commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for commodities trading through use of wireless technology. The Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology/internet or any other technology should be brought to the notice of the client by the Member.
4. The Member shall make the client aware that the Member'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 Member'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/ commodities 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 Member
6. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member'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/ commodities 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 Member 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 Member 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 Member and the Exchange do not make any representation or warranty that the Member'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 Member on account of any suspension, interruption, non-availability or malfunctioning of the Member's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

ADDITIONAL RISK DISCLOSURE DOCUMENTS FOR OPTIONS TRADING

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.

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.

DO'S

Trade only through Registered Members of the Exchange. Check from the Exchange website at following link <https://www.mcxindia.com/membership/notice-board> Details to see whether the Member is registered with the Exchange.

1. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading.
2. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
3. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
4. Obtain a copy of your KYC and/ or other documents executed by you with the Member, from the Member.
5. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website at the following link <https://www.mcxindia.com/en/login>. The trades can be verified online where trade information is available up to 5 working days from the trade date.
6. Insist on a duly signed Contract Note in specified format for every executed trade within 24 hours of trade, highlighting the details of the trade along with your UCC.
7. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.
8. Obtain receipt for collaterals deposited with the Member towards margins.
9. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities to know your rights and duties vis-à-vis those of the Member.
10. Ask all relevant questions and clear your doubts with your member before transacting.
11. Insist on receiving the bills for every settlement.
12. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.
13. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
14. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
15. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.
16. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
17. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
18. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.
19. Understand and comply with accounting standards for derivatives.
20. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.
21. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/ guidelines specified by SEBI/Commodity exchanges.
22. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of commodities with the Member, stating date, commodity, quantity, towards which bank/ demat account such money or commodities (in the form of warehouse receipts) deposited and from which bank/ demat account.
23. The payout of funds or delivery of commodities (as the case may be) shall not be made to you within one working day from the receipt of payout from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be 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) You need to bring any dispute arising from the statement of account to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Commodity exchanges without delay.
 - c) In case you have not opted for maintaining running account and pay-out is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the Member. In case there is dispute, ensure

that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Commodity exchange.

- d) Please register your mobile number and email id with the Member, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the commodity exchanges.
- 24. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives or the member becomes insolvent or bankrupt.
- 25. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.
- 26. In case your problem/grievance/issue is not being sorted out by concerned Member/Authorised Person then you may take up the matter with the concerned Commodity Exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

Don'ts

- 1. Do not deal with any unregistered intermediaries.
- 2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
- 3. Do not enter into assured returns arrangement with any Member
- 4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/ implicit promise of returns, etc.
- 5. Do not make payments in cash/ take any cash towards margins and settlement to/ from the Member.
- 6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
- 7. Do not neglect to set out in writing, orders for higher value given over phone.
- 8. Do not accept unsigned/duplicate contract note/confirmation memo.
- 9. Do not accept contract note/confirmation memo signed by any unauthorized person.
- 10. Don't share your internet trading account's password with anyone
- 11. Do not delay payment/deliveries of commodities to Member.
- 12. Do not forget to take note of risks involved in the investments.
- 13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities, deposits and/or keep them with Depository Participants (DP) or member to save time.
- 14. Do not pay brokerage in excess of that rates prescribed by the Exchange
- 15. Don't issue cheques in the name of Authorized Person.

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF Company Name (THE “COMPANY”) HELD ON DD-MM-YYYY AT A.M. AT THE REGISTERED OFFICE OF THE COMPANY SITUATED AT

AUTHORISATION TO OPEN A TRADING AND DEMAT ACCOUNT WITH AIKYAM CAPITAL PRIVATE LIMITED

"RESOLVED THAT the Company is authorized to invest in securities/commodities market.

RESOLVED FURTHER THAT the Company be registered as a client and open a Trading and Demat Account with Aikyam Capital Private Limited (ACPL), Member of the National Stock Exchange of India Ltd. (NSE), the Bombay Stock Exchange (BSE), Multi Commodity Exchange of India (MCX), Metropolitan Stock Exchange of India (MSEI) and a Depository Participant with National Securities Depositories Limited (NSDL), for the purpose of dealing in securities and/or commodities in any segment of the aforesaid exchanges and depository.

RESOLVED FURTHER THAT Aikyam Capital Private Limited be and is hereby authorized to honour instruction given on the behalf of the Company by any of the under noted Authorised Signatories who is/ are hereby authorised to sell, buy, transfer, endorse, negotiate documents and/or deal in securities, commodities, derivatives and other permitted instruments through the Trading and Demat Account with ACPL.

Sr. No.	Name	Designation	Specimen signature
1.			
2.			

RESOLVED FURTHER THAT the above signatories are hereby authorized to sign, execute and submit such applications, undertakings, agreements, Depository Participant (DP) instructions, declarations, forms and other requisite documents, writings and deeds as may be deemed necessary for opening, operating and maintaining the Trading and Demat Account with Aikyam Capital Private Limited and for giving effect to this resolution.

RESOLVED FURTHER THAT a certified true copy of this resolution be furnished to Aikyam Capital Private Limited and that the same shall remain in force until a written notice of its modification or revocation is received and acknowledged by Aikyam Capital Private Limited.

RESOLVED FURTHER THAT the Common Seal of the Company, if any, be affixed to such documents as may be required, in accordance with the provisions of the Companies Act, 2013 and the Articles of Association of the Company.”

//Certified True Copy//

For

**Director
DIN:**

**Director
DIN:**

**Date:
Place:**

**CERTIFIED EXTRACT OF THE RESOLUTION AT THE MEETING OF THE PARTNERS OF <<CLIENT NAME>> ("THE FIRM")
HELD ON----- (MEETING DATE) AT REGISTERED ADDRESS OF THE CLIENT
AUTHORISATION TO OPEN A TRADING AND DEMAT ACCOUNT WITH AIKYAM CAPITAL
PRIVATE LIMITED**

"RESOLVED THAT the Firm is authorized to invest in securities/commodities market.

RESOLVED FURTHER THAT the Firm be registered as a client and open a Trading and Demat Account with Aikyam Capital Private Limited (ACPL), Member of the National Stock Exchange of India Ltd. (NSE), the Bombay Stock Exchange (BSE), Multi Commodity Exchange of India (MCX), Metropolitan Stock Exchange of India (MSEI) and a Depository Participant with National Securities Depositories Limited (NSDL), for the purpose of dealing in securities and/or commodities in any segment of the aforesaid exchanges and depository.

RESOLVED FURTHER THAT Aikyam Capital Private Limited be and is hereby authorized to honour instruction given on the behalf of the Firm by any of the under noted Authorised Signatories who is/ are hereby authorised to sell, buy, transfer, endorse, negotiate documents and/or deal in securities, commodities, derivatives and other permitted instruments through the Trading and Demat Account with ACPL.

Sr. No.	Name	Designation	Specimen signature
1.			
2.			

RESOLVED FURTHER THAT the above signatories are hereby authorized to sign, execute and submit such applications, undertakings, agreements, Depository Participant (DP) instructions, declarations, forms and other requisite documents, writings and deeds as may be deemed necessary for opening, operating and maintaining the Trading and Demat Account with Aikyam Capital Private Limited and for giving effect to this resolution.

RESOLVED FURTHER THAT a certified true copy of this resolution be furnished to Aikyam Capital Private Limited and that the same shall remain in force until a written notice of its modification or revocation is received and acknowledged by Aikyam Capital Private Limited.

//Certified True Copy//

For

Partner

Partner

Date:

Place:

(On letter head of Company)

Annexure - 1

Current Details of Shareholders & Beneficial Owners of M/s

I / we hereby confirm that the details of shareholders / beneficial owners in the captioned company are given below. We also confirm that names of all the shareholders and/or beneficial owners, holding not less than 10% shareholding / beneficial interest, both directly & indirectly, are given below:

S. No.	Name of shareholders & beneficial owners	Date of Birth / Date of Incorporation	Nationality	Whether shareholder or beneficial owner	% of shareholding	PAN No. / Registration No.	Address

For

Signature

Directors Name

Rubber Stamp

Note: In case of non individual shareholding, similar list of shareholders of such non individual shareholder is also required.

1. Provide details of shareholders holding 10% or more in similar format..

(On letter head of Company)

Annexure - 2

Details of Individual Promoters holding control, either directly or indirectly of M/s _____

S No	Name	Citizenship	Residential Address	PAN	Whether Politically Exposed Person (PEP) / Related to Politically Exposed Person (RPEP) (please tick)	Photograph with across signatures
					☐ PEP ☐ RPEP ☐ No	
					☐ PEP ☐ RPEP ☐ No	
					☐ PEP ☐ RPEP ☐ No	
					☐ PEP ☐ RPEP ☐ No	

For

Signature ➡

Partners /Trustees / Members Name

Rubber Stamp

Date

Place

(On letter head of Company)

Annexure - 3

Details of Directors / Partners / HUF

Name of Entity: _____

PAN No. _____

S.No	Name and Designation	Residential Address	Contact Number	PAN /DIN	Whether Politically Exposed Person (PEP) / Related to Politically Exposed Person (RPEP) (please tick)	Photographs with across signatures
1				PAN	☐ PEP	
				DIN	☐ RPEP ☐ No	
2				PAN	☐ PEP	
				DIN	☐ RPEP ☐ No	
3				PAN	☐ PEP	
				DIN	☐ RPEP ☐ No	
4				PAN	☐ PEP	
				DIN	☐ RPEP ☐ No	

For _____

Signature ➡

Partners Name:

Rubber Stamp

Date:

Place

(On letter head of Company)

Annexure - 4

LIST OF AUTHORISED OFFICIALS

S. No	Name & Designation	Residential Address	Email Address & Contact Number	Whether Politically Exposed Person (PEP) / Related to Politically Exposed Person (RPEP) (please tick)	Specimen Signature	Photograph with across signatures
				☐ PEP ☐ RPEP ☐ No		
				☐ PEP ☐ RPEP ☐ No		
				☐ PEP ☐ RPEP ☐ No		

For

Signature ➡

Directors Name

Rubber Stamp

Date

Place



AT AIKYAM CAPITAL WE PROMISE

No Errors. No Delays. Just Results.