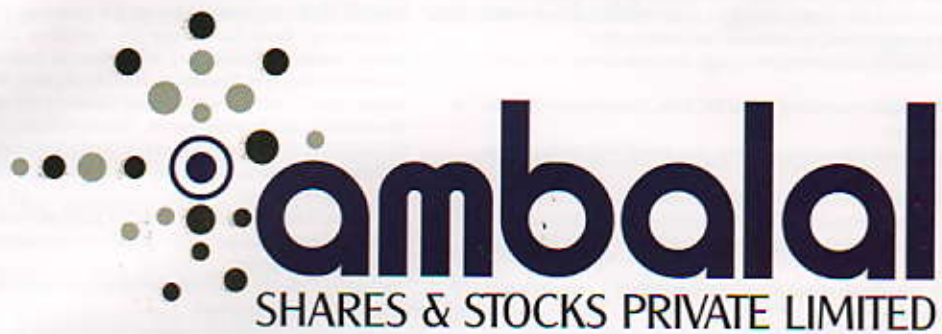


Appl. No : _____



CLIENT REGISTRATION FORM

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS
AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT

CLIENT NAME : _____

DP ID / CLIENT ID : _____

UCC NO : _____

BRANCH / AP CODE : _____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

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

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

Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.

Bank Account Statement/Passbook - Not more than 3 months old.

Self-declaration by High Court and Supreme Court Judges, giving the new address in respect of their own accounts.

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.

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.

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

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

D. Exemptions/clarifications to PAN

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

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

2. Investors residing in the state of Sikkim.

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

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

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

E. List of people authorized to attest the documents:

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

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

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorised signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FI)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorised signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorised signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

AMBALAL SHARES & STOCKS PRIVATE LIMITED

163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632004.

Tamil Nadu, India. Ph: 0416 - 2227751 - 55 Fax: 0416-2215006.

E-mail : ambalal@ambalalshares.com Website : www.ambalalshares.com

Depository Participant : CDSL : SEBI Regn. No. : IN-DP-CDSL-677-2013 ; DP ID : 12076000

SEBI Regn. No(s).

BSE CM : INB 011432938 & Derivatives : INF011432938 / INE011432938 /

NSE CM: INB 231432932 & Derivatives: INF 231432932 / NSE Currency Derivatives: INE 231432932 /

MCX - SX CM : INB 261432935 & Derivatives: INF 261432935 / MCX - SX Currency Derivatives : INE 261432939

Dear Investors,

We thank you for choosing Ambalal Shares & Stocks Private Limited for providing you services for your Investment / Depository needs. We value your patronage and assure you that we will strive to assist you in the best possible manner for all depository related needs.

We enclose herewith Know Your Client "KYC Form" and other Documents for execution. Kindly note that these documents are prescribed by the Regulatory authorities and are in mutual interest. We urge you to go through these documents to enhance your depository experience.

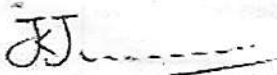
We request you to provide us with your email address so that your accounts and other information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password from us to enable you to view / retrieve your records from our site www.ambalalshares.com.

We once again thank you.

With warm regards,

Yours faithfully

For AMBALAL SHARES & STOCKS PRIVATE LIMITED.



Chairman

ACCOUNT OPENING KIT

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4	BANK DETAILS FOR DP	6		
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6	SCHEDULE OF CHARGES - DP	8		
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For HO Use				
	Application Scrutinised by Branch	Account Activated by		Compliance verified by
		DP	Trading	
Employee Name & No.				
Signature				

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

Agreement of Residence/Driving License/Flat Maintenance bill/insurance Copy.

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

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

Additional KYC Form for Opening a Demat Account

For Individuals

	AMBALAL SHARES & STOCKS PRIVATE LIMITED DEPOSITORY PARTICIPANT - CDSL DP SEBI REG NO.: IN-DP-CDSL-677-2013 DP ID : 12076000 Regd. Office : 163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632004. Tamil Nadu, India. Ph: 0416 - 2227751 - 55 Fax: 0416-2215006. E-mail : ambalal@ambalalshares.com Website : www.ambalalshares.com	

(To be filled by the Depository Participant)

Application No.	Date														
DP Internal Reference No.															
DP ID	1	2	0	7	6	0	0	0	Client ID						

(To be filled by the applicant in BLOCK LETTERS in English)

I / We request you to open a demat Account in my/our name as per the following details :

Holders Details

Sole/ First Holder's Name		PAN													
Second Holder's Name		PAN													
Third Holder's Name		PAN													

Name *	
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., Although the account is opened in the name of natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., Should be mentioned above.	

Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository receipts <input type="checkbox"/> Others(specify) _____	

Details of Guardian (In case the account holder is a minor)

Guardian's Name		PAN	
Relationship with the Applicant			
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be "Yes")			[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my/our end (If not marked, the default option would be 'No')			<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Required	<input type="checkbox"/> As per SEBI Regulation	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding statement at the email ID: _____			<input type="checkbox"/> Yes <input type="checkbox"/> No
I/ We would like to share the email ID with the RTA			<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)			
I/ We wish to receive dividend / interest directly in my bank account given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]			<input type="checkbox"/> Yes <input type="checkbox"/> No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account Type	<input type="checkbox"/> Saving		<input type="checkbox"/> Current		<input type="checkbox"/> Others (Specify) :				
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		Pincode			

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 - (ii) Photocopy of the Bank Statement having name and address of the BO ,
 - (iii) Photocopy of the Passbook having name and address of the BO, (or)
 - (iv) Letter from the Bank.
- ⇒ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details Gross Annual Income Details	Income Range per Annum: <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000										
	Net Worth as on (Date)	D	D	M	M	Y	Y	Y	Y	Rs.	
[Net Worth should not be older than 1 year]											
Occupation	<input type="checkbox"/> Private / Public Sector		<input type="checkbox"/> Govt. Service		<input type="checkbox"/> Business		<input type="checkbox"/> Professional		<input type="checkbox"/> Agriculture		
	<input type="checkbox"/> Retired		<input type="checkbox"/> Housewife		<input type="checkbox"/> Student		<input type="checkbox"/> Others(Specify)				
Please tick, If applicable:	<input type="checkbox"/> Politically Exposed Person (PEP)				<input type="checkbox"/> Related to Politically Exposed Person (RPEP)						
Any other information											

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	Mobile No. +91 _____ [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option)
Easi	To register for easi, please visit CDSL's website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the Portfolio online.

Nomination Details

Nomination Registration No.	Dated

I / We the Sole holder / Joint holders / Guardian (in case of minor) hereby declare that :

- I / We do not wish to nominate any one for this demat account.
- I / We nominate the following person who is entitled to receive security balances lying in my / our account, particulars whereof are given below, in the event of my / our death.

Full name of the Nominee										
Address										
	City :		State							
	Country :		PIN code							
Telephone No.							Fax No.			
PAN							UID			
E-Mail ID										
Relationship with BO (If any)										
Date of birth (mandatory if nominee is a minor)										

SCHEDULE OF CHARGES

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I / We appoint following person to act as **Guardian**.

Full name of Guardian of Nominee							
Address							
	City :				State		
	Country :				PIN code		
Telephone No.					Fax No.		
E-Mail ID							
Relationship of Guardian with Nominee							

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me us.

Note : Two witness shall attest signature(s) / thumb impressions(s).

DETAILS OF THE WITNESS		
	FIRST WITNESS	SECOND WITNESS
NAMES OF WITNESS		
ADDRESS OF WITNESS		
SIGNATURE OF WITNESS		

I/We have received and read the Rights and obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me / us above are true and to the best of my/our knowledge as in the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures	① ✓	② ✓	③ ✓

(Signatures should be preferably in black ink).

SCHEDULE OF CHARGES

Account Description	Individual with POA	Individual without POA
	<input type="checkbox"/>	<input type="checkbox"/>
Account Opening	Nil	Nil
Documentation Charges	150	Nil
Custody	Nil	Nil
Account Maintenance Charges (upfront)	Rs.150/- p.a. For first year & Rs.300/- for subsequent years	Rs.150/- p.a. For first year & Rs.300/- for subsequent years
Transaction Charges (ON Market)	Buy : Nil Sell : Rs.15/- per transaction	Buy : Nil Sell : Rs.25/- per transaction
Transaction Charges (Off Market within Ambalal DP)	Rs.15/- per transaction (Off Market)	Rs.15/- per transaction (Off Market)
Inter DP (Other than Ambalal DP)	0.02% of transaction value MinimumRs. 25/- per transaction	0.02% of transaction value MinimumRs. 25/- per transaction
Dematerialization	Rs. 2.00 per certificate + (Rs.25 per request)+ courier charges at actual	Rs. 2.00 per certificate + (Rs.25 per request)+ courier charges at actual
Rematerialization	Rs. 10.00 per certificate + courier charges at actual	Rs. 10.00 per certificate + courier charges at actual
Pledge & Unpledge	Rs.25.00 to pledger	Rs.25.00 to pledger
Pledge Invocation (pledgee)	Rs.50.00 to pledgee	Rs.50.00 to pledgee
Failed instruction charges	Nil	Nil
Other Charges	Nil	Nil

- The above schedule of charges are exclusive of Service Tax and other levies by Government bodies / statutory authority from time to time.
- The above schedule of charges is based on CDSL charges and fixed by the DP and is subject to revision at the discretion of the DP.
- Transaction statement will be sent monthly, if there is a transaction and a statement of holdings every quarter (or at the request of the client) by courier.
- All payments have to be made favouring Ambalal Shares & Stocks Private Limited. You can pay by local cheque (in places where Ambalal Shares & Stocks Private Limited has a branch) or Demand Draft payable at Vellore. Outstation cheques will not be accepted.
- Any advance payments over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised from time to time.
- Rs.100/- will be levied as penalty in case of non-payment of bills after 15 days from the due date of the payment. The depository services for the account will be temporarily withdrawn.

②
✓

Signatures

Sole / First Holder

B
✓

Second Holder

III
✓

Third Holder

**RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT
AS PRESCRIBED BY SEBI AND DEPOSITORIES**

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that charges are payable for opening of demat accounts”
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

Statement of account

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

Manner of Closure of Demat account

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

demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

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

Default in payment of charges

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

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

Liability of the Depository

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

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

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

Freezing/ Defreezing of accounts

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

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Byelaws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

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

	Sole / First Holder	Second Holder	Third Holder
Name			
Signatures	③ ✓	② ✓	① ✓

ANNEXURE - 2.4

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to Bos for all debits]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited, a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai - 400 001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of Dps who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. the BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers from the CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his Bo account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I / We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the Bos would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable)

BO ID	1	2	0	7	6	0	0	0										
	(Please write your 8 digit DP ID)								(Please write your 8 digit Client ID)									

Sole/ First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____




Mobile Number on which messages are to be sent

+91																		
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : _____

Email ID : _____
(Please write only ONE valid email ID on which communication; if any, is to be sent)

Signatures Sole / First Holder Second Holder Third Holder

Place : _____ Date : _____

POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/WE _____ residing at _____, send greetings. (X)

Whereas I/We hold beneficial owner account number _____ with Central Depository Services (India) Limited (CDSL), through **Ambalal Shares & Stocks Private Limited** a depository participant registered with Securities and Exchange Board of India (SEBI) as Depository Participant having DP ID - 12076000 and SEBI Registration No. IN-DP-CDSL -677-2013. (S)

And Whereas I am / We are desirous to buy and sell securities through **Ambalal Shares & Stocks Private Limited** who is a stock broker registered with SEBI and Member of recognized stock exchange(s). (X)

And Whereas I am / We are desirous of appointing **Ambalal Shares & Stocks Private Limited** as my constituted attorney to operate my / our beneficial owner account on my / our behalf for a limited purpose in the manner hereafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I / We do hereby nominate, constitute and appoint **Ambalal Shares & Stocks Private Limited** (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorize it to perform the following functions on my / our behalf:

- i. to transfer securities held in my / our aforementioned beneficial owner account(s) or any other account (as per the Schedule I attached) of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades and margin obligations arising out of trades executed by me / us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities towards margin / delivery obligations arising out of trades executed by me / us through the stock broker on any recognized stock exchange, provided that I / We have executed KYC & trading account with the stock broker and opted for such exchanges.
- ii. to redeem mutual fund units held by me/us in demat form in my / our above beneficiary account in accordance with my / our instructions and to execute DIS for meeting obligations arising out of such instructions.
- iii. to apply for various products like Mutual Funds, Public issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral / written / electronic instructions given by me / us to the stock broker.
- iv. to pledge the securities in favour of the stock broker for the limited purpose of meeting my / our margin requirements in connection with the trades executed by me / us on any recognized stock exchange through the stock broker.
- v. to return to me / us the securities or funds that may have been received by the stock broker erroneously or those securities or funds that the stock broker was not entitled to receive from me / us.

I / We ratify the instructions given by the aforesaid stock broker to the depository participant named herein above in the manner specified herein.

7 ✓

G ✓

VII ✓

I / We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at :

The Compliance Officer,
 AMBALAL SHARES & STOCKS PRIVATE LIMITED
 163, Durga Bhavan II Floor, New Katpadi Road,
 Vellore-632 004.
 Tamil Nadu, India.

Signed and delivered by the within named Beneficial Owner(s)

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature			

In the presence of (Name & Address of witness)

Witness 1 :

Witness 2 :

We Accept

For Ambalal Shares & Stocks Private Limited

Authorised Signatory

Place : _____

Date : _____

SCHEDULE- I

Account Type	DP ID	DP Name	Client ID
NSE Pool Account	12076000	Ambalal Shares & Stocks Private Ltd	1207600000043639
BSE Principal Account	12076000	Ambalal Shares & Stocks Private Ltd	1207600000043468
BSE Pool Account	12076000	Ambalal Shares & Stocks Private Ltd	1207600000043508
MCX-SX Pool Account	12076000	Ambalal Shares & Stocks Private Ltd	1207600000043512
FAO Collateral Account	12076000	Ambalal Shares & Stocks Private Ltd	1207600000042071
NSDL-NSE Pool Account	IN300095	IL&FS Securities Services Limited	11553200
NSDL-BSE Pool Account	IN300095	IL&FS Securities Services Limited	11559014
NSDL-MCX SX Pool Account	IN300095	IL&FS Securities Services Limited	11659259

DIGITAL STATEMENT

To, _____

Date : _____

AMBALAL SHARES & STOCKS PRIVATE LIMITED
163, Durga Bhavan II Floor, New Katpadi Road,
Vellore632004 .
Tamil Nadu, India.

Reg : Beneficial Owner (BO) Account No. _____

I / We _____

[Name(s) of the BO(s)] had entered into agreement dated _____ with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I / We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I / We confirm that the dispatch of statement of account to me / us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me / us with statement of my / our BO account. But I / We reserve my / our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

[E-mail address : _____]

I / We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch / service of my / our statement of account on me / us shall not be binding upon you unless you are intimated in writing by me / us by acknowledged delivery.

Yours faithfully,

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature	⑩ ✓	⑪ ✓	⑫ ✓

OPTION FORM FOR ISSUE OF DIS BOOKLET**Annexure 2.5**

									Date								
DP ID	1	2	0	7	6	0	0	0	Client ID								
Sole/ First Holder's Name																	
Second Holder's Name																	
Third Holder's Name																	

To

AMBALAL SHARES & STOCKS PRIVATE LIMITED

Regd. Office : 163, Durga Bhavan II Floor, New Katpadi Road, Vellore632004 . Tamil Nadu, India.

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

 OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/we have issued a Power of Attorney (POA) in favour of / with Ambalal Shares & Stocks Pvt. Ltd., (Clearing Member) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member.

Yours faithfully,

	First / Sole Holder	Second Holder	Third Holder
Name			
Signatures	ⓧ ✓	ⓧ ✓	ⓧ ✓

 OPTION 2:**OR**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA agreement in favour of / with Ambalal Shares & Stocks Pvt. Ltd., (Clearing Member) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully,

	First / Sole Holder	Second Holder	Third Holder
Name			
Signatures	ⓧ ✓	ⓧ ✓	ⓧ ✓

----- (Please tear here) -----

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID	1	2	0	7	6	0	0	0	Client ID								
Sole/ First Holder's Name																	
Second Holder's Name																	
Third Holder's Name																	

Depository Participant Seal and Signature

ADDITIONAL KYC DETAILS FOR TRADING (INDIVIDUALS ONLY)

(THIS INFORMATION IS THE SOLE PROPERTY OF THE TRADING MEMBER / BROKERAGE HOUSE AND WILL NOT BE DISCLOSED TO ANYONE UNLESS REQUIRED BY LAW OF EXCEPT WITH AND WILL EXPRESS PERMISSION OF THE CLIENT)

To AMBALAL SHARES & STOCKS PRIVATE LIMITED Regn. Office : 163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004. Ph : 0416 - 2227751 - 55. Fax : 0416 - 2215006 E-mail : ambalal@ambalalshares.com Web site : www.ambalalshares.com	MEMBER : NATIONAL STOCK EXCHANGE OF INDIA LTD, SEBI Regn. No. INB / INF / INE 231432932 (Cash / F&O / Currency) MEMBER : BOMBAY STOCK EXCHANGE LIMITED, SEBI Regn. No. INB / INF 011432938 (Cash / F&O) MEMBER : MCX STOCK EXCHANGE LIMITED, SEBI Regn. No. INB / INF 261432935 (Cash / F&O) SEBI Regn. No. INE 261432939 (Currency)
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CLEARING MEMBERS

IL & FS Securities Services Ltd., IL & FS House Raheja Vihar, Chandivali, Anderi (East) Mumbai - 400072. Tel: +91(22)2857 0965 / +91(22)2847 1472-75 (District) SEBI Registration No. BSE / NSE - INF 011133834 / 231133630 CM Code BSE / NSE - P907 / C50008	Edelweiss Securities Ltd., Edelweiss House Off C.S.T. Road, Kalina, Mumbai - 400098. Tel: +91(22)6623 3397 / +91(22) 4019 4872 SEBI Registration No. INF231193310 CM Code NSE F&O & NSE Currency: M51118
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Dear sirs,

I / We request you to register me / us as your client and enable me / us to trade . I/We have read the Rules. Bye -laws and Regulations of the above exchanges and agree to abide by them. In this regard, I/We give the following information :

UCC Code PAN No

Client Name

OTHER DETAILS FOR TRADING ACCOUNTS DETAILS

FINANCIAL DETAILS


Gross Annual Income	<input type="checkbox"/> < Rs.1 Lac <input type="checkbox"/> Rs.1-5 Lac <input type="checkbox"/> Rs.5-10 Lac <input type="checkbox"/> Rs.10-25 Lac <input type="checkbox"/> > Rs.25 Lac Rs.Specify.....										
Networth as on.....	<input type="checkbox"/> < Rs.5 Lac <input type="checkbox"/> Rs.5-10 Lac <input type="checkbox"/> Rs.10-50 Lac <input type="checkbox"/> Rs. >Rs.50 Lac Rs.Specify.....										
Portfolio	Present Market Value of Portfolio as on date Rs.										
Clients opting for derivatives segment are requested to provide one or more of the mentioned documents as of their net worth / income proof:	<table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border: none;">a. IT Returns</td> <td style="width: 33%; border: none;">f. Bank Account Statement for last 6 months</td> </tr> <tr> <td style="border: none;">b. Annual Accounts</td> <td style="border: none;">g. Demat account Holding statement</td> </tr> <tr> <td style="border: none;">c. Form 16 in case of salary income</td> <td style="border: none;">h. Any other relevant documents substantiating ownership of assets</td> </tr> <tr> <td style="border: none;">d. Net worth certificate</td> <td style="border: none;">i. Self declaration along with relevant supporting</td> </tr> <tr> <td style="border: none;">e. Salary Slip</td> <td style="border: none;">j. Any other proof(Please Specify)_____</td> </tr> </table>	a. IT Returns	f. Bank Account Statement for last 6 months	b. Annual Accounts	g. Demat account Holding statement	c. Form 16 in case of salary income	h. Any other relevant documents substantiating ownership of assets	d. Net worth certificate	i. Self declaration along with relevant supporting	e. Salary Slip	j. Any other proof(Please Specify)_____
a. IT Returns	f. Bank Account Statement for last 6 months										
b. Annual Accounts	g. Demat account Holding statement										
c. Form 16 in case of salary income	h. Any other relevant documents substantiating ownership of assets										
d. Net worth certificate	i. Self declaration along with relevant supporting										
e. Salary Slip	j. Any other proof(Please Specify)_____										

OCCUPATION / EMPLOYMENT DETAILS

Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> House Wife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify.....)
Name of Employer/ Establishment	
Designation	Period of Service
Address (Office)	
Contact Details	Phone: _____ Fax: _____ Email: _____
Please Tick, if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) / <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
Any Other Information	

DECLARATION

I/We hereby declare that the information and particulars given by me/us in this application are true to the best of my/our knowledge and belief. I/We agree to immediately inform you if there is any change in any of the information given in this application or in the annexures to this application. I/We also declare and agree that if any of the above statements are found to be incorrect or false or any information or particulars been suppressed or omitted there from, I/We am / are Liable to be debarred from doing business forthwith, without any notice. I/We also agree to furnish such further information as you or the Exchange/Regulators may require from me from time to time and also agree that if I/We fail to give such information, you shall have the right to cancel my/our registration forthwith, without any notice.

Name: (Mr./Mrs./Ms.)		
Date		
Place		

For Office Use Only

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

For AMBALAL SHARES & STOCKS PRIVATE LIMITED

Seal/Stamp of the Intermediary

Signature of the Authorised Signatory

Date : _____

Trading Account Related Details :

A. BANK DETAILS (Please attach separate sheet & documentary proof if more than two Bank account has to be registered)

Bank Name		Bank A/C Type	Savings / Current / NRE / NRO
Bank A/C Number*		Date of Opening Bank A/C	
Bank Branch Address		Mode of Holding	<input type="checkbox"/> Single Holder <input type="checkbox"/> Joint Holder
MICR		RTGS/NEFT/IFSC	

Bank Name		Bank A/C Type	Savings / Current / NRE / NRO
Bank A/C Number*		Date of Opening Bank A/C	
Bank Branch Address		Mode of Holding	<input type="checkbox"/> Single Holder <input type="checkbox"/> Joint Holder
MICR		RTGS/NEFT/IFSC	

*Payment will be issued to the said Bank account by default unless & otherwise specified

B. DEPOSITORY ACCOUNT(S) DETAILS (Attach Client Documentary Proof for each Client ID)

Depository Participant Name (DP)	Depository (NSDL / CDSL)	DP ID	Client ID

C. TRADING PREFERENCES	Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.	
Exchanges	Name of the Segment	Signature of the Client
NSE (CM)	NSE - CAPITAL MARKET	<input checked="" type="checkbox"/>
NSE (F&O)	NSE - FUTURES & OPTIONS	<input checked="" type="checkbox"/>
NSE (CDS)	NSE - CURRENCY DERIVATIVES	<input checked="" type="checkbox"/>
BSE (CM)	BSE - CAPITAL MARKET	<input checked="" type="checkbox"/>
BSE (F&O)	BSE - FUTURES & OPTIONS	<input checked="" type="checkbox"/>
BSE (CDS)	BSE - CURRENCY DERIVATIVES	<input checked="" type="checkbox"/>
MCX - SX (CM)	MCX-SX - CAPITAL MARKET	<input checked="" type="checkbox"/>
MCX - SX (F&O)	MCX-SX - FUTURES & OPTIONS	<input checked="" type="checkbox"/>
MCX - SX (CDS)	MCX-SX - CURRENCY DERIVATIVES	<input checked="" type="checkbox"/>

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

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/ authorized persons in charge of dealing in securities during the last 3 years :	<input type="checkbox"/> Yes <input type="checkbox"/> No
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub Broker Name	SEBI Registration No.	Registered Office Address	Phone / Fax Details

Whether dealing with any other Stock Brokers/ Sub Brokers
If Yes, give details (Please Provide details of all)

Yes No

Stock Broker Name	Sub Broker Name	Exchange	Client Code

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

F. ADDITIONAL DETAILS

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

Physical contract Note Electronic Contract Note (ECN)

Specify your E-mail id, if applicable

Whether you wish to avail of the facility of internet trading / wireless technology (Please specify)

Yes No

Investment Experience	No Prior Experience_____	In Stocks_____ years	In Derivatives_____ years
	In other Investment related field_____ years		

Any other information

Account Opening Charges

Collected Not Collected

G. INTRODUCER DETAILS (Optional)

EXISTING ACCOUNT HOLDER / ASSL EMPLOYEE / AUTHORISED PERSON / OTHERS

Introducer Name		Code	
Advisory Name		Code	
Introducer's signature			

H. NOMINATION DETAILS FOR TRADING ACCOUNT (For Individual Only)

I /WE WISH TO NOMINATE I /WE DO NOT WISH TO NOMINATE

Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee		D.O.B. of Nominee	
Address & Phone No. of the Nominee			

IF NOMINEE IS A MINOR DETAILS OF GUARDIAN

Name of Guardian			
Address & Phone No. of the Guardian			
Signature of the Guardian			

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

Name :	Name :
Signature :	Signature :
Address :	Address :

DECLARATION

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

Place : _____
Date : _____



Signature of Client

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			
Place			
Date			
Signature			

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

For AMBALAL SHARES & STOCKS PRIVATE LIMITED

Signature of the Authorised Signatory
Date

Seal/Stamp of the stock broker



Client's Signature

INSTRUCTIONS/ CHECK LIST

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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

TARIFF SHEET FOR TRADING ACCOUNT

NSE / BSE / MCX-SX

Cash Segment		
	%	Minimum Paise per Share
Trading 1 st Leg		
Trading 2 nd Leg		
Delivery Brokerage		

FAO				
	I Side		II Side	
	%	Lot Brok	%	Lot Brok
Index Future				
Stock Future				
Index Option				
Stock Option				

CURRENCY						
	I Side			II Side		
	%	Lot Brok	Min / Lot	%	Lot Brok	Min / Lot
Currency Future						
Currency Option						

Note:

1. Please note that the brokerage levied to your trading account shall be the higher of brokerage value as per the existing rates or Rs.20 per settlement/segment, subject to the maximum rates prescribed by the regulator(s) from time to time.
2. Other charges:
 - a. Securities Transaction Tax, SEBI Turnover fees, Transaction charges, Clearing member charges shall be levied as per the prevailing rates.
 - b. Statutory levies including but not limited to Service Tax, Stamp duty, Education Cess shall be levied as per the prevailing rates.

⊗

Branch Managers Signature

⑮
✓

VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open securities trading accounts with Ambalal Shares & Stocks Pvt Ltd., (hereinafter ASSL) for the purpose of trading on Cash, F & O and Currency Derivative Segments of the National Stock Exchange of India Ltd., the Bombay Stock Exchange of India Ltd., and the MCX Stock Exchange Ltd.,

And whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by ASSL and also the additional services that may be made available by ASSL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions.

The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. Authorization to debit additional charges: Without prejudice to the other rights and obligations of the parties, the client understands and agrees that ASSL may levy additional charges for any additional services rendered by ASSL as may be required by the Client, and recover from the Client all reasonable costs, including, but not limited to, legal expenses incurred by ASSL for collecting unpaid dues from the Client, charges on delayed payments, transaction charges in relation to shares of Client retained with ASSL and account maintenance charges where brokerage generated falls below the minimum prescribed from time to time.

2. Payment by cheque: Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favor of ASSL, trades may be executed at the discretion of ASSL only upon realization of the funds of the said cheque/pay order/ demand draft.

3. Settlement Obligations: Where settlement obligations, whether of fund/securities, are not discharged by the Client on time, ASSL reserves the right not to release fund/security (pay out) to the Client. ASSL may withhold pay-out of securities until cheque/pay order/demand draft issued by the Client is realized. This is without prejudice to the other remedies available to ASSL in the event of default by the Client in discharging the settlement obligations in accordance with the Rules, Regulations and Bye-laws of the respective Stock Exchange.

4. Client to pay on demand : The client hereby

Unconditionally, absolutely, and irrevocably undertakes to pay immediately any amount due and payable under this document on being called upon to do so, merely on a demand in writing or otherwise from ASSL stating that the amount has become due and any such demand made on the client shall be conclusive as regards the amount due and payable by the client.

5. Lien: All securities, funds and/or properties of the Client placed with ASSL shall be subject to a lien for the payment or fulfillment of all un-discharged liabilities and obligations of the Client in relation to its transactions or owing to ASSL. ASSL shall be entitled to withhold any securities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, funds or properties at its sole discretion and at any point of time.

6. Authorization for Inter segment fund balance transfer and stock transfers: The client hereby authorizes ASSL to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment to its ledger account in any other segment or to transfer any stock purchased/lying in its account in any segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of ASSL.

7. Acting as a Sub-broker/Authorised person: The Client agrees that he shall not act as a sub-broker/authorised person without prior written permission of ASSL, the Stock Exchange and without obtaining certificate of Registration from Securities and Exchange Board of India (SEBI).

8. Orders at Unrealistic Prices/Illiquid scrips: The client hereby confirms that it will not place or cause to be placed with ASSL, orders in scrip at prices substantially different from the prevailing price of the scrip at the time of placement of order. Any order placed by the client wherein the price is substantially different from the prevailing market price of the scrip is liable to be rejected at the sole discretion of ASSL. The client understands that ASSL may in its sole discretion and without disclosing any reasons, restrict trading in certain scrip or derivatives a list of which will be displayed on the Back Office Website of ASSL.

9. Statement of accounts : ASSL shall transmit to the Client statement of accounts for every calendar month / quarter over email or through post/courier, according as the account settlement cycle and mode of transmission preferred by the Client, and the client agrees

to bring to the notice of ASSL any discrepancy in the account statement in respect of any accounting entry/entries within one week from the date of receipt of the respective account statement failing which the account statement as transmitted shall be deemed to be correct and accepted by the client.

10. Disclaimer: The Client understands and agrees that neither ASSL nor the supplier of the market data that is disseminated through the Website of ASSL or in any other media by ASSL guarantees their timeliness, sequence or periodicity of dissemination, accuracy, completeness, reliability or content. ASSL provides the market data/information on an "as available" basis and does not give any warranties of any kind, either express or implied, including, without limitation, those of their merchantability and fitness for a particular purpose. It is expressly provided that neither ASSL nor any other party disseminating any market data, message or information through the Website of ASSL or in any other media shall be liable for:

(a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or

(b) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Non-performance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by ASSL or any disseminating party or to any "force majeure" (e.g. Flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of ASSL or any disseminating party.

11. Legal, Tax, Accounting or Investment advice: The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. The Client also acknowledges that the Member's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Member or any of its employees.

12. Use of data / information on the Website: The Client understands that each participating Exchange,

Association, agency and ASSL asserts proprietary interests in the market data, research work and other materials displayed on the website of ASSL and that the Client is authorized to use the said website materials are for the client's own needs and uses only in accordance with the terms and conditions specified for such usage. Client is not authorized to, and shall not, sell or provide access to or make copies of any such materials or permit their use by any other persons in any manner. Client will not delete copyright or other intellectual property rights notices from printouts of electronically accessed materials.

13. Manner and Mode of placing orders/instructions: The Client or his authorized representative may communicate orders and other instructions to ASSL or the sub-broker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through email, or by personally visiting the designated office. Client or the Authorized Representative may use any one or more these means for placing orders.

14. Non-execution/delay/cancellation of Orders: The client hereby agrees that ASSL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of ASSL or the Exchange. ASSL does not guarantee cancellation or modification of any order requested by the Client. The order may be cancelled/modified only if the Client's request for cancellation/modification is received on time, i.e., During the pendency of the original order intended to be cancelled/modified and the original order is successfully cancelled/modified before it is executed.

15. Client not to act on representations of agents, employees: Client is aware that ASSL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of ASSL. Client understands that it is required to familiarize itself with the various risks inherent in the securities market which are set out in detail in the Risk Disclosure Document and to carry out transactions on the Exchange in accordance with the Bye-Laws, Rules and Regulations of SEBI and the concerned Stock Exchange and the terms and conditions set out in the KYC documents. Client also understands that its relation with ASSL as Stock

Broker/Trading Member is governed entirely by the express terms contained in the KYC documents and the Bye-Laws, Rules and Regulations of SEBI and concerned Stock Exchange and that ASSL has not authorized any persons to hold out any promise, representation, assurance, undertaking, commitment etc. as to return or profit on investment and that ASSL excludes all and any liability for loss accruing to the Client by reason of the Client acting in reliance of such promise or representation etc.

16. Recording of Conversation: The client is aware and agrees that ASSL may tape record the conversation between the client/client's representative and ASSL, whether over the telephone or in person. ASSL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.

17. Confidentiality of Client Details : Details and information relating to the Client including trade related information shall be kept confidential and shall not be Disclosed to any person/authority except as required under authority of Law. However, where requisition for such details and information is received under authority of Law, ASSL may part with such details and information Client without prior reference or intimation to the Client. The Client, however, understands and agrees that ASSL may share details of the Client with its own group companies/branches/sub broker/franchisee.

18. Client to furnish additional information: Client agrees and undertakes to furnish to ASSL such additional information as may be necessary under the Rules, Regulations and Byelaws of the Exchanges, SEBI as may be in force from time to time or as may be required by any judicial, statutory, investigating, local or other authority, immediately on ASSL making a request on the Client.

19. Pay-in of Funds & Securities: ASSL will receive and pay funds/securities only from/to the Bank a/c and the Demat a/c given by the Client in the Client registration form or from/to the A/cs subsequently in writing notified by the Client and accepted by ASSL. ASSL reserves the right not to accept funds/securities from Banks/Demat accounts other than that registered with ASSL and Client understands and agrees that ASSL shall not be liable for any loss that may be occasioned due to ASSL declining to accept funds/securities from unregistered accounts.

20. Client to Retain Copy: A copy of all the documents comprising KYC shall be provided to the Client at the time of execution of this document under acknowledgment to be signed by the Client. Additional copy of the documents shall be provided to the Client on written request on payment of reasonable cost.

21. Client's declaration: Client declares that:

(a) It is conversant with relevant laws, trade practices, rules, regulations, guidelines, circulars etc. prescribed by SEBI, the Stock Exchanges and other competent authorities in relation to trading and transactions in the Securities Market and matters incidental or ancillary thereto and undertakes to acquaint itself with any modifications/changes brought about therein from time to time.

(b) It shall not give any third party shares or cheques in discharge of its settlement obligations.

(c) It will not indulge in any manipulative, fraudulent and/or unfair trade practices including but not limited to trades such as synchronized deals, structured deals, circular trading in the capital market and futures and option segments.

22. In the event Client is found to have indulged in any manipulative, fraudulent and/or unfair trade practice or to have committed a breach of the applicable laws, regulations, guidelines, Bye-laws, by acts or omissions, whether directly or indirectly, Client shall be held solely liable for the legal and financial consequences thereof which may include penalties, restrictions or prohibitions or such other actions by appropriate authority.

23. Severance: In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforce ability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.

24. No Waiver: No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.

25. Notices: All notices or communications issued by ASSL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:

- i) By ordinary post,
- ii) By registered post,
- iii) Under certificate of posting,
- iv) By express delivery post,
- v) By telegram,
- vi) By affixing it on the door at the last known business or residential address,
- vii) By oral communication to the party or on the last known telephone number or on the recording machine of such number,
- viii) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated,
- ix) By publishing it in the Client's log-in page on the back office website of ASSL,
- x) By a notice posted on the notice board of the Exchange if no address be known,
- xi) By electronic mail or fax,
- xii) By hand delivery.

25.1 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between ASSL and the Client may be made orally.

25.2 Deemed Service: Any communication sent by ASSL to the Client shall be deemed to have been delivered or served, even if such communication is returned to ASSL as unclaimed/ refused/undelivered, if the same is sent to the ordinary business address and/or ordinary place of residence and/or last known address of the party, in any one or more of the ways mentioned above. The Client shall always be deemed to have notice of all communication posted/ published in the log-in page of the back office website of ASSL and it shall be responsibility of the Client to access the website of ASSL regularly for all such communication.

26. Electronic Contract Note (ECN): The Client understands that it can have Contract Notes for the trades executed delivered by ASSL in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing ASSL in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent. For availing of this service, the Client shall sign and issue a mandate in the prescribed form authorizing ASSL to issue Contract Notes in digital form. However, ASSL may at its

discretion, issue Contract Notes in physical form instead of in digital form and may levy reasonable charges for the same. Client understands and agrees that delivery of Contract Notes in digital form shall be subject to the following terms:

(i) The Client shall access and verify the ECN and all information contained therein shall be binding, if the Client does not raise any objections as to the accuracy of its contents or notify any discrepancy therein, either in writing or via E-mail, within 24 hours the ECN is transmitted. The Client will be required to save/ print/ download the ECN for archiving and delete the e-mails from his e-mail account on a regular basis so as to keep sufficient space in the e-mail account to continue receiving ECN from ASSL. The ECN shall be deemed to have been delivered to the Client, if ASSL does not receive a rejection or bounced mail notification.

(ii) ASSL shall also publish the Contract Note on the Website www.ambalshares.com or on any other designated location specified by ASSL from time to time.

The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. The Client shall take all necessary steps to ensure confidentiality and secrecy of the login name & password. The specific clauses hereinafter contained governing user name and password for facilitating net banking services through the Electronic Payment Gateway shall mutatis mutandis apply to the use of Login Name and Password allotted to the Client for accessing ECN on the Website of ASSL.

(iii) Should the Client experience any difficulty in opening the ECN, ASSL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advise ASSL of such a difficulty within 24 hours after transmission of ECN shall amount to valid delivery and viewing of the document by the Client.

27. Electronic Payment Gateway for Net Banking Services: ASSL may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with ASSL. Client understands that ASSL is only providing access to the electronic fund transfer facility provided by the banker of the Client through ASSL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by

unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make ASSL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in Respect of, arising out of or in connection with any transactions on the Gateway and agrees that ASSL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.

28. Internet / Wireless Technology based Trading facility: ASSL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to ASSL over the internet/ mobile/ laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by ASSL by complying with the formalities prescribed therefor.

28.1 User Name and Password: On opting to avail Internet/Wireless Trading facility, the Client shall be provided a username and password transmitted to it over email at the designated email ID which will enable it secured access to ASSL's the Trading facility.

28.2 The Client is aware that the initial Password is System generated and agrees and undertakes to immediately change it upon receipt. The Client understands that the initial and subsequent passwords are not known or available to ASSL.

28.3 The Client agrees and undertakes:

- (i) To download the software required for Internet/Wireless Technology based Trading facility on to the Computer or Mobile as the case may be from ASSL's Website using the specified URL.
- (ii) To use compatible computer hardware/mobile and system software and/or upgrade them to compatible versions for Internet/Wireless Technology based Trading facility software to function satisfactorily.
- (iii) To commit the password to memory and not to record it in any written or electronic form;
- (iv) Not to let any unauthorized person gain access to the computers or leave the computer unattended while remaining logged on to the internet/wireless trading system and to log off from the Internet/Wireless Trading System as and when the trading session ends;
- (v) To change the password at frequent intervals;
- (vi) To notify ASSL if it receives inaccurate information regarding the account balances, investment products position or transaction history, or notices such other discrepancies in the account that might be attributable to

unauthorized access.

28.4 Client to change Password: If the Client is unable to change the Password by reason of the Client having forgotten the Password or the Password having been Unauthorizedly changed by some other person or for any other reason, then the Client shall immediately request ASSL in writing to discontinue old Password, and thereupon, ASSL shall deactivate the old Password and communicate to the Client a new system generated Password.

28.5 Clients opting for Internet/Wireless Trading Facility to compulsorily opt ECN: If the Client elect to transact using Internet / Wireless facility, it shall compulsorily opt for receiving contract notes electronically (ECN) and comply with the formalities required for ECN and also notify its mobile number to ASSL. If unable to open any of the documents, It shall inform ASSL and follow advice given by ASSL to resolve the problem.

28.6. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading period as ASSL may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of ASSL.

28.7 The client understands and agrees that ASSL has different product versions of the Internet Trading / Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product version that it may choose while signing these documents. The client also understands and agrees that depending on the trading activity of the client, ASSL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

28.8 Orders of Client subject to review by ASSL: The Client agrees that the ASSL may, at its sole discretion, subject any order placed by a Client through the internet/wireless trading system to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.

28.9 Copy Right/Internet/Trading/Wireless Technology: The Client agrees that the software underlying the Internet Trading/Wireless Technology System which is required for accessing the Internet Trading/Wireless Technology facility are the legal property of ASSL and the Client shall not attempt to modify, translate, disassemble, decompile or reverse engineer the software underlying the service. The permission given by ASSL to the Client to use the Internet Trading/Wireless Technology System shall not convey any proprietary/ownership rights in the above software to the Client.

29. Data Security and maintenance of equipments: The use and storage of any information including, without limitation, the passwords or digital signatures, portfolio information, transaction details, account balances and any other transaction details or trade information as the case may be on the Client's personal computer is at the Client's own risk and is the Client's sole responsibility. Client is also responsible for maintenance and upkeep of the personal computer, modem, communication equipment and telephone or other services required for accessing and using the internet trading facility of ASSL and for all communications service fees and charges incurred by the Client in that connection.

30. Extra Ordinary Events and termination/suspension of trading facility: ASSL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond ASSL's control. resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any ASSL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

31. Remit Funds payout electronically into client's bank account: Notwithstanding anything contained in these documents and without prejudice to the rights and obligations of the parties interse, the Client, hereby agrees and authorizes ASSL to transfer funds due for payment to the Client through Net Banking/EFT/RTGS/NEFT for the credit of designated bank account(s) of the Client details of which are given by it to ASSL. Client shall also give ASSL a cancelled cheque leaf of the designated Bank account for this purpose. Client agrees that it shall not hold ASSL liable if any fund is credited to wrong account(s) as a result of Client providing incorrect account details to ASSL. ASSL reserves the right to reject request of the Client for electronic fund transfer or to discontinue the facility without assigning any reason. The client also understands and agrees that ASSL shall not be responsible for any delay /failure in transmission of electronic payout of funds due to any reason whatsoever and undertakes to not hold ASSL liable in this regard.

32. Amendments to the terms and conditions: ASSL reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying or varying the provisions thereof by giving 15 days notice to the Client.

Authority for Maintaining Running Account

To
Ambalal Shares & Stocks Private Limited
 163, Durga Bhavan II Floor,
 New Katpadi Road, Vellore - 632 004.

Date : _____

Sub : Consent for Maintenance of Running Account


Dear Sir,
 In order to facilitate operations,

I/We hereby authorize you to maintain my/our accounts both in securities and funds with you on a running account basis and consider the balance in said accounts for the purpose of margins or any other obligations due to you across any segment of all Stock Exchanges opted by me and also authorize you to hold my/our credit/securities in anticipation of future debits in my/our account till my/our further instruction to release the same.

I/We further authorize you to set off/adjust any of my/our debit/ dues in any segment of all Stock Exchanges with credit of any other segment of all other Exchanges opted by me in my/our account.

I am/ We are aware that the said authorization given to you is on one time basis and is valid till the same is revoked by me/us in writing at any point of time.

I/We desire actual settlement of funds and securities at least once in a calendar quarter or month.

Nature of Disclosure	Please tick (Quarter or Month)	Signature of the Client
Periodic settlement of funds and securities once in a	<input type="checkbox"/> Quarter <input type="checkbox"/> Month	<div style="text-align: right;">  _____ </div>

I/We, Hereby give my consent to retain a minimum balance of Rs. 10,000/- in my account while effecting Quarterly Settlements in my trading account.

I/We, am/are under an obligation to bring any dispute arising from the statement of account or settlement to your notice within 7 working days from the date of receipt of funds / securities or statement as the case may be.

Thanking You,

Yours faithfully,



AUTHORIZATION FOR ELECTRONIC STATEMENTS

To
Ambalal Shares & Stocks Private Limited
 163, Durga Bhavan II Floor,
 New Katpadi Road, Vellore - 632 004.

Date : _____

Sub: Letter of Authority / Mandate of Issuance of Statement in electronic form (Trading Account)

Dear Sir / Madam,

In reference to my/ our dealing with you as your client, I/We confirm that I/We am/are desirous of receiving digital contract notes, bills, ledgers, transaction statements, monthly / Quarterly demat statement of accounts / holding statement(s)/bills or other reports, statement(s), related notices, Circulars, amendments and such other time to time in electronic form, subject to the terms and conditions prescribed by SEBI, the respective Stock Exchanges and Ambalal Shares & Stocks Private Limited.

I / We further hereby confirm that we wish to receive / continue to receive the electronic contract notes / statements on the following email address, which e-mail address has been generated by me / us.

E-Mail Account 1 :	
E-Mail Account 2 :	

I/We further hereby agree that ASSL shall fulfill the legal obligation, if the above statement(s) are sent electronically to any one of the above mentioned email account(s). I / We further agree that you shall be entitled to consider non-receipt of any delivery failure notification by you as confirmation of delivery of the contract note at my/our email address.

I / We understand and agree that any change in my/our e-mail address shall be communicated to ASSL by me/us through a physical letter addressed to ASSL or through secured access by way of client specific user id and password.

Thanking You, .

Yours faithfully,

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Client Defaulter Declaration

To.
Ambalal Shares & Stocks Private Limited
 163, Durga Bhavan II Floor,
 New Katpadi Road, Vellore - 632 004.

Date : _____

Sub: Defaulter Declaration.

Sir,

I/We have made application with requisite documents to you to open trading account for execution of trades on my/our behalf as per instruction given by me/us from time to time in various segment like Cash and/or F&O and/or Currency Derivatives and/or Mutual Fund segment of various stock exchanges like Bombay Stock Exchange Ltd. (BSE) and /or National Stock Exchange of India Ltd. (NSE) and / or MCX Stock Exchange Ltd. (MCX-SX) etc. (hereinafter called as "the Stock Exchange(s)") as my/our broker.

I/We do hereby declare that I/we have not been involved in any terrorist activity and I/we have not been declared as defaulter or my/our name is/are not appearing in defaulter database as per SEBI/Various Exchanges/Regulatory Bodies/CIBIL (Credit Information Bureau of India Ltd.) Etc.

Thanking You,

Note: The above declaration is to be given by the client,
 if the client has not been declared as defaulter.

*Strike off whichever is not applicable/acceptable to you.

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Declaration for Mobile Number

To.
Ambalal Shares & Stocks Private Limited
 163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.
 Sir,

Date : _____

I/We have made application with requisite documents to open trading account for execution of trades on my/our behalf as per instruction given by me/us from time to time in various segment like Cash/Capital and/or F&O and/or Currency Derivatives and/or Mutual Fund segment of various stock exchanges like Bombay Stock Exchange Ltd. (BSE) and /or National Stock Exchange of India Ltd. (NSE) and / or MCX Stock Exchange Ltd. (MCX-SX) etc. (hereinafter called as "the Stock Exchange(s)") as my/our broker.

I/We, do hereby declare that my/our mobile number is _____. Further, I/we authorize that the same may be used for giving me any information/alert/sms/calls. I/we will intimate any change in the mobile number mentioned herein above through a letter in writing to you.

I/We, do hereby declare and agree that:

1. The mobile phone number which belongs to me/us as provided above.
2. Mobile communication shall be at the sole discretion of ASSL.
3. Despite the fact that I/we may have registered for DND (Do Not Disturb) with respective Mobile Service Provider, ASSL is authorized to send SMS on the above mentioned mobile number and I/we confirms that ASSL will not be held liable for sending any information on SMS and also authorizes ASSL to submit such undertaking before the TRAI or such other regulator or service provider for allowing ASSL to send SMS despite DND Status of the Client Mobile Number.
4. ASSL may charge fees from time to time for providing this service.

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

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Request & Authority for Placement of Securities Collateral & Withdrawal

To.

Ambalal Shares & Stocks Private Limited
163, Durga Bhavan II Floor,
New Katpadi Road, Vellore - 632 004.

Date : _____

Dear Sir,

In order to facilitate operations and to abide by the statutory requirements as laid down from time to time, I/we wish to keep transferring the securities to yours designated Demat account from time to time as collaterals towards margin deposit for Cash/Derivatives Segments of the Exchanges for which you may please exempt me/us to give you separate individual instructions every time. Such collateral securities so transferred to your designated Demat account should be credited to my/ our account and margin benefits be given to me/ us accordingly.

I/We also wish to avail exposure against stock lying in my/our DP account maintained with your Depository Participant and authorize you to transfer the securities so lying in my/our Demat account(s) to yours designated Demat account for the purpose of exposure and/or any margin and /or pay-in and/or pre pay-in obligations that arise/may arise on my / our trade position in any exchange-segment.

I/we also request & authorize you to directly deliver such collateral securities to the Stock Exchanges towards my/our pay-in/ early pay-in / pre pay-in margin obligations without any reference to me/us.

I/we further confirm that all the Demat Charges in this regard would be borne by me/us.

Yours faithfully,

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Authority Letter for Maintaining Group Account for all Segment / Exchanges

To.

Ambalal Shares & Stocks Private Limited
163, Durga Bhavan II Floor,
New Katpadi Road, Vellore - 632 004.

Date : _____

Dear Sir,

I/We am/are maintaining account with Ambalal Shares & Stocks Private Limited and trading on NSE, BSE and MCX-SX.

You are requested to please treat the aforesaid account as group account as they are in my/our name only.

I/We hereby specifically authorize you to set off and adjust the outstanding amounts of money and/or securities in one account against the credit/collaterals lying in another account or vice versa irrespective of the fact that such debits/credits in the accounts may pertain to transactions in any segment of any Stock Exchange. We also authorize you to pass appropriate journal entries in order to give effect to the same as may be deemed fit by you. The instructions aforesaid shall be valid and operative against us until expressly revoked by us.

Yours faithfully,

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Order Placement Instructions

To _____ Date : _____
Ambalal Shares & Stocks Private Limited
 163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.

Dear Sir,

With respect to Documents executed between us, I/We do hereby authorize ASSL to do the following :

As I/We have facility to trade online through Internet and wireless technology, I/We would be placing orders using these modes. However, in case of breakdown of internet connectivity or other similar reasons, I/We may place orders by physically visiting / calling/ E-mailing the Call centre / branch specified for the said purpose by ASSL.

I/We understand that you require written instructions from me/us for placing/modifying/canceling orders. However, since it is not practical for me / us to give written instructions for placing/modifying/canceling order, I/We her by request you to kindly accept my/our/mandate holder's verbal orders/instructions, in person or over phone and execute the same. I/we understand the risk associated with placement of verbal orders and accept the same. I/We shall not disown orders under the plea that the same was not placed by me/us. I/We indemnify ASSL and its employees and keep you and your employees indemnified against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my/our orders placed verbally.

Thanking you,

Yours faithfully

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✓

To _____ Date : _____
Ambalal Shares & Stocks Pvt. Ltd.,
 163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.

Dear Sir,

Authorisation For Debiting Charges in my/our Trading Account

I / We here by authorize to debit my/ our trading account No _____ held with you for all the Charges under the following heads :

- | | | |
|------------------------------------|-------------------------------------------|--------------------|
| 1. Trading Account Opening Charges | 3. Delayed Payment Charges | 5. SMS Charges |
| 2. DP Charges | 4. Charges towards transfer of securities | 6. Courier Charges |

Thanking you,
 Yours faithfully

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✓

Acknowledgement

To,
Ambalal Shares & Stocks Pvt. Ltd.,
163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.

Form No. _____

Sir,

I/We have read and understood ASSL policies and procedures and also accepted the terms and conditions mentioned in the various documents of the KYC form.

I/We have received the below said documents copy

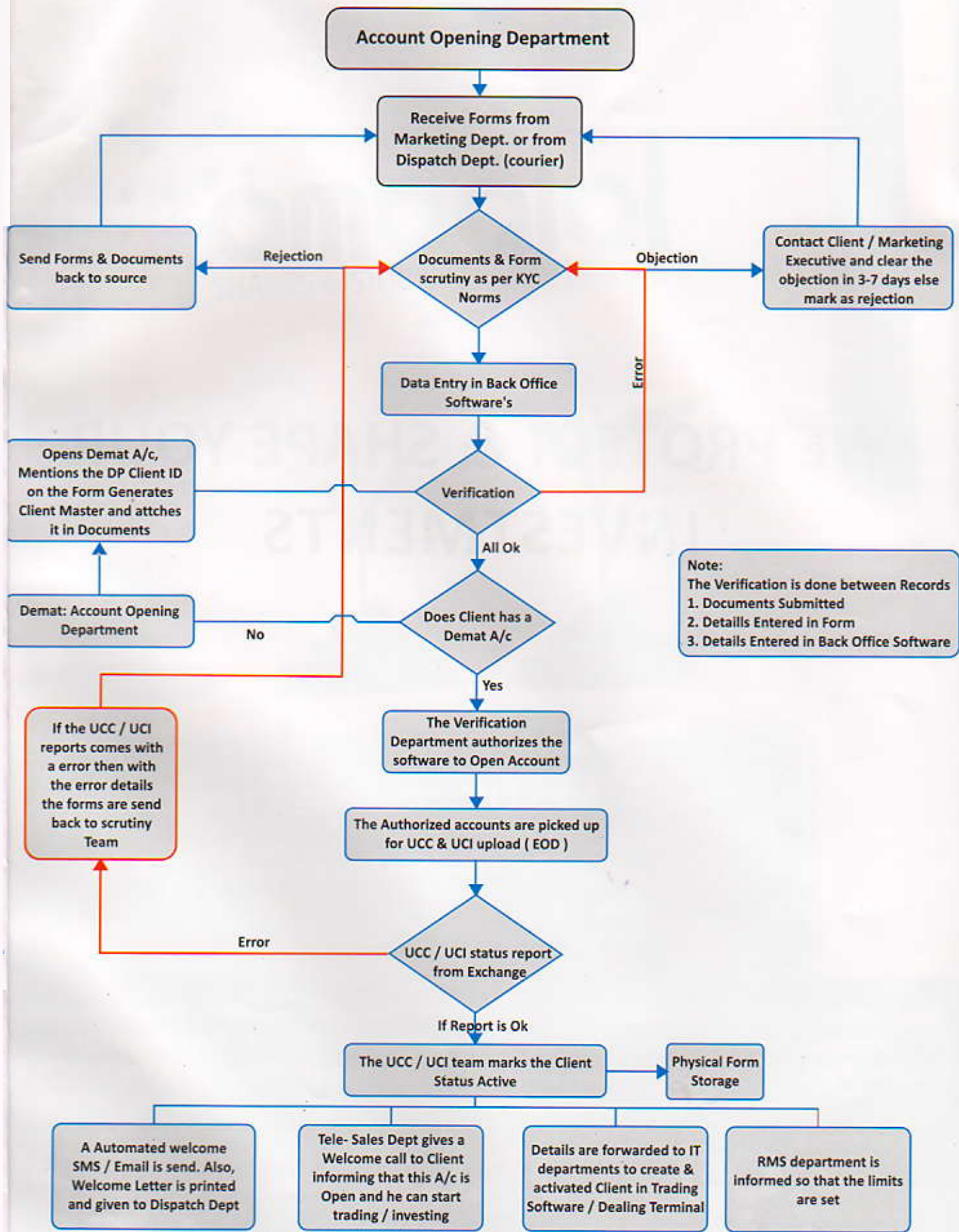
- * Rights and Obligations for DP and Trading Account
- * Risk Disclosure Document (RDD)
- * Guidance note
- * Policies and Procedures

I/We hereby acknowledge receipt of copy of duly executed KYC form with supporting documents bearing trading code no. _____ & Demat account number _____

Yours faithfully,

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✓

Client Name: _____



WE PROTECT & SHAPE YOUR INVESTMENTS

Regd. office: # 163, Durga Bhavan, II Floor, New Katpadi Road, Vellore-632 004. Tamil Nadu, India.
Corporate Office: Plot No. 2, Kewalchand Plaza, Brindavan Street, Ambalal Green City,
Old Bypass Road, Vellore-632 004. Ph: 0416-2227751-55. Fax: 0416-2215006. www.ambalalshares.com

DEPOSITORY PARTICIPANT : CDSL : SEBI REG NO : IN-DP-CDSL-677-2013 ; DP ID : 12076000

MEMBER: THE NATIONAL STOCK EXCHANGE OF INDIA LIMITED, CASH MARKET SEGMENT SEBI REGN. NO. INB231432932
FUTURES AND OPTIONS SEGMENT SEBI REGN. NO. INF231432932, CDS SEGMENT SEBI REGN. NO. INE231432932

MEMBER: BOMBAY STOCK EXCHANGE LIMITED, CASH MARKET SEGMENT SEBI REGN. NO. INB011432938
FUTURES AND OPTIONS SEGMENT SEBI REGN. NO. INF011432938, CDS SEGMENT SEBI REGN. NO. INE011432938

MEMBER: MCX STOCK EXCHANGE LIMITED, CASH MARKET SEGMENT SEBI REGN. NO. INB261432935
FUTURES AND OPTIONS SEGMENT SEBI REGN. NO. INF261432935, CDS SEGMENT SEBI REGN. NO. INE261432939

Investor grievance email id : igassl@ambalalshares.com / igassldp@ambalalshares.com