

Appln. 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.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

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

AMBALAL SHARES & STOCKS PRIVATE LIMITED

Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City, Old Bye Pass Road,
Vellore- 632 004. Tamilnadu, 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 us an opportunity to serve 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 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 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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For HO Use				
	Application Scrutinised by Branch	Account Activated by		Compliance verified by
		DP	Trading	
Employee Name & No.				
Signature				

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

FAX - Email ID

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

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

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

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

A- Passport Number Passport Expiry Date --
D D M M Y Y Y Y

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date --
D D M M Y Y Y Y

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

Date : -- Place :
D D M M Y Y Y Y

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date --
D D M M Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

INSTITUTION DETAILS

Name

Code

[Employee Signature]

[Institution Stamp]

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)												
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conditions Annexure - 2.6	<p>I wish to avail the TRUST facility using the mobile number registered for SMS alert facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>I wish to register the following clearing member IDs under my/our below mentioned BO ID register for TRUST</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;"><u>Stock Exchange Name / ID</u></th> <th style="width: 33%;"><u>Clearing Member Name</u></th> <th style="width: 33%;"><u>Clearing Member ID (Optional)</u></th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	<u>Stock Exchange Name / ID</u>	<u>Clearing Member Name</u>	<u>Clearing Member ID (Optional)</u>									
<u>Stock Exchange Name / ID</u>	<u>Clearing Member Name</u>	<u>Clearing Member ID (Optional)</u>											
<i>Easi</i>	To register for easi, please visit CDSL's website : www.cdslindia.com <i>Easi</i> 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 persons who is/**are** entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:
Middle Name:
*Last Name
*Address:			
*City			
*State			
*Pin			
*Country			
Telephone No.			
FAX No.			
PAN No.			
UID			
Email ID			
*Relationship with the BO:			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy			
Name of the Guardian of Nominee (if nominee is a minor)			
*First Name:
Middle Name:
*Last Name
*Address of the guardian of nominee:			
*City			
*State			
*Country			
*PIN			
Age			
Telephone			
Fax No.			
Email ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note : Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

*** Marked is Mandatory field**

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

Note: One witness shall attest signature(s) / thumb impression(s)

Details of the Witness	
	First Witness
Name 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 on 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			

(Signatures should be preferably in blue ink).

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 : _____

Annexure-2.6

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case:-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .

4 ✓

Signatures

Sole / First Holder

D ✓

Second Holder

IV ✓

Third Holder

Place : _____

Date : _____

POWER OF ATTORNEY

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

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.

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).

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.



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
 Plot No.2, Kewalchand Plaza, Brindavan Street,
 Ambalal Green City, Old Bye Pass Road,
 Vellore- 632 004.
 Tamilnadu, 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 & Signature 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







SCHEDULE OF CHARGES

Account Description	Charges(Rs.)
Account Opening	NIL
Documentation Charges	NIL
Custody	NIL
Account Maintenance Charges (upfront)–Scheme 1	Individual - Rs.300/- p.a. from 2 nd Year onwards Non Individual – Rs.1000/- p.a. from 2 nd Year onwards
Account Maintenance Charges (upfront)–Scheme 2	Individual - Rs.2500/- One Time AMC (inclusive of ST) Non Individual – Rs.5000/- One Time AMC (inclusive of ST)
Transaction Charges (ON Market)	Buy: NIL, Sell: Rs.17/- per transaction for POA Clients; Buy: NIL; Sell: Rs.30/- per transaction for NON POA Clients
Transaction Charges (Off Market within Ambalal DP)	Rs.17/- per transaction
Inter DP (Other than Ambalal DP)	0.03% of transaction value Minimum Rs.30/- per transaction
Dematerialization	Rs.5.00 per certificate + (Rs.50 per request) + courier charges at actual
Rematerialization	Rs.10.00 per certificate + courier charges at actual
Pledge & Unpledge	Rs.50.00 to Pledgor
Pledge Invocation (Pledgee)	Rs.75.00 to Pledgee
Failed instruction charges	NIL
DIS Lost charges	Rs.10/- per Slip
KRA Process Charges	Rs.50/- for New KRA & Rs.25/- for Modification KRA
Other Charges	NIL

- The above schedule of charges are exclusive of Service Tax (Except One Time AMC) 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.



Signatures



Second Holder



Third Holder

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		10 ✓
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 (CDS)	BSE - 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 :

--

G. INTRODUCER DETAILS (Optional)

EXISTING ACCOUNT HOLDER <input type="checkbox"/> / ASSSL EMPLOYEE <input type="checkbox"/> / AUTHORISED PERSON <input type="checkbox"/> / OTHERS <input type="checkbox"/>			
Introducer Name		Code	
Advisory Name		Code	
Introducer's signature			

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

<input type="checkbox"/> I /WE WISH TO NOMINATE <input type="checkbox"/> 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

14

✓

Voluntary Authorization Letter

To

Ambalal Shares and Stocks Private Limited

Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City, Old Bye Pass Road,
Vellore- 632 004. Tamilnadu, India. Ph: 0416-2227751 - 55 Fax: 0416-2215006.
E-Mail: ambalal@ambalalshares.com Website: www.ambalalshares.com

Dear Sir / Madam,

With reference to my trading account No. _____ /

Demat Account No. _____ I am opting for the following facilities

- | | |
|--|---|
| 1. I wish to opt for trading through internet / wireless tech | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 2. I wish to opt for trading through mobile application | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 3. I wish to opt for Electronic Contract Note (ECN) | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 4. I wish to opt for Receive documents via electronic mode (DEM) | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 5. I wish to receive trading confrmation over phone | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 6. I wish to receive SMS services given by ASSPL | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 7. I/We give consent for sharing trading information | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 8. I/We give consent for using the same mobile number and email id for our family members
as given in point no.8 of Annexure to this letter | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 9. I hereby declare that I have not been involved in any terrorist activity and have not been
declared as defaulter | Y <input type="checkbox"/> / N <input type="checkbox"/> |
| 10. I wish to received the following documents through electronic form / physical form. | Y <input type="checkbox"/> / N <input type="checkbox"/> |

- ❖ Rights & Obligations
- ❖ Rights & Obligations of the Beneficial Owner and Depository Participant
- ❖ Risk Disclosure Document
- ❖ Guidance Note
- ❖ Policies and Procedures
- ❖ Additional Terms & Conditions of Services

Place:

15
✓

Signature

Date :

Authority for Maintaining Running Account

To

Ambalal Shares & Stocks Private Limited

Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City, Old Bye Pass Road,
Vellore- 632 004. Tamilnadu, India. Ph: 0416-2227751 - 55 Fax: 0416-2215006.
E-Mail: ambalal@ambalalshares.com Website: www.ambalalshares.com

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	

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,

 _____

Request & Authority for Placement of Securities Collateral & Withdrawal**To.****Ambalal Shares & Stocks Private Limited**

Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City, Old Bye Pass Road,
Vellore- 632 004. Tamilnadu, India. Ph: 0416-2227751 - 55 Fax: 0416-2215006.
E-Mail: ambalal@ambalalshares.com Website: www.ambalalshares.com

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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**To****Ambalal Shares & Stocks Pvt. Ltd.,**

Plot No.2, Kewalchand Plaza, Brindavan Street, Ambalal Green City, Old Bye Pass Road,
Vellore- 632 004. Tamilnadu, India. Ph: 0416-2227751 - 55 Fax: 0416-2215006.
E-Mail: ambalal@ambalalshares.com Website: www.ambalalshares.com

Date : _____

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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Declaration for FIT and Proper Person

I hereby declare that I am a fit and proper person to trade in securities and to enter into a contract for trading in securities as per SEBI regulations and rules more defined by **SECURITIES AND EXCHANGE BOARD OF INDIA (CRITERIA FOR FIT AND PROPER PERSON) REGULATIONS, 2004**

I hereby also declare the following:

- (a) I have not been convicted by a Court for any offence involving moral turpitude, economic offence, securities laws or fraud;
- (b) No order for winding up has been passed against me/us.
- (c) I/ We have not been declared insolvent and have not been discharged;
- (d) No order of suspension of certificate of registration as an intermediary, client restraining, prohibiting or debarring me/us from dealing in securities in the capital market or from accessing the capital market has been passed by the Board or any other regulatory authority for a period ending last five years.
- (e) No order canceling the certificate of registration of the applicant has been passed by the Board of SEBI on the ground of its indulging in insider trading, fraudulent and unfair trade practices or market manipulation and a period of three years;
- (f) No order withdrawing or refusing to grant any license / approval to the applicant, who has a bearing on the capital market, has been passed by the Board or any other regulatory authority for a period of three years before this date .

Thanking You

(Client Signature with Date)



WE PROTECT & SHAPE YOUR INVESTMENTS



**Regd. & Corporate Office : Plot No. 2, Kewalchand plaza, Brindavan Street, Ambalal Green City,
Old Bye-pass Road, Vellore - 632 004. Tamilnadu. 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. INFO11432938, 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. INE 261432939

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