

ACKNOWLEDGMENT



To,

Marfatia Stock Broking Pvt. Ltd.

2nd - 3rd & 4th floor, Glacier Complex,

Nr. Pizza Bell, Jetalpur Road,

Vadodara - 390 007.

Dear Sir / Madam,

I hereby acknowledge that, I have received, while opening trading and Demat accounts with you, copies of below mentioned duly executed documents.

- Index
- KYC and checklist
- Trading Information
- Rights and obligations for Trading Account
- Rights and obligations for Demat Account
- RDD (Risk Disclosure Document)
- Do's and Don'ts
- Tariff Sheet (Demat & Trading Account)
- Company's internal Policies & procedures
- Demat Debit & Pledge Instruction (DDPI/POA)

I also confirm that I have read and understood the contents of Policies and Procedures of Marfatia Stock Broking Pvt. Ltd.

Client Trading Code : _____

My E-mail ID : _____



1

(Signature of Client)

2

(2nd A/c Holder)

3

(3rd A/c Holder)

Annexure-1 ACCOUNT OPENING KIT INDEX

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Sr.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC form-Documents captures the basic information about the constituent and an instruction/check list.	1-5
		B. Document captures the additional information about the constituent relevant to trading account instruction/ check list, including in person verification.	6-10
		C. Documents captures the additional information about opening a Demat Account.	11-17
2.	Guidance note	For Non Custodial Settled trading account. Document detailing do's and don'ts for trading on exchange, for the education of the investors.	18-20
3.	Policies and Procedures	Document describing significant detail policies and procedures of the stock broker.	21-23
4.	Charges Schedule of Depository/Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s). / Charges for Demat.	24
5.	Discloser of Pro Trading	Disclosure of pro trading	25
PART B - VOLUNTAY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
6.	Sms & E-mail Alert to investors	SMS & Email Declaration	26
7.	Running Account Authorization	Running Account Authorization	27
8.	Authorization	Requesting member to provide Electronic Contract Notes and other accounts statements, SMS Facility, Authorities to maintain running account & Authorities.	28-30
9.	Client Defaulter Declaration & Other Declaration	Client Defaulter Declaration, FATCA Declaration MFSS-Declaration, PMLA Declaration	31-35
10.	General Terms & Conditions	General Terms & Conditions	36-38

Registered office address:

2nd-3rd & 4th floor, Glacier Complex, Nr. Pizza Bell, Jetalpur Road, Vadodara-05.
Ph. +91-265-2351355, 3501500, Fax : 0265-2351498, **Website:** www.Marfatia.net

Correspondence office address :

2nd-3rd & 4th floor, Glacier Complex, Nr. Pizza Bell, Jetalpur Road, Vadodara-05.
Ph. +91-265-2351355, 3501500 Fax : 0265-2351498, Website: www.Marfatia.net

Compliance officer Name, Phone & email ID Mr.Chintan Majmundar M.-9925002610 E-mail :compliance@marfatia.net

CEO name. Phone & email ID Mrs. Shreya Marfatia M.-9925002650 E-mail: fromdeskofmd@marfatia.net

CLARING MEMBER : GLOBE CAPITAL MARKET LIMITED

SEBI : INZ000177137 CIN. : U74100DL1985PLC021350

For any grievance/dispute please contact **Marfatia Stock Broking Private Ltd.** at the above address or email ID: customercare@marfatia.net/enquiry@marfatia.net/research@marfatia.net. In case not satisfied with the response, please contact exchange Numbers.Exchanger Number : NSE - ignse@nse.co.in, (022) 26598190, BSE - is@bseindia.com, (022) 2272 8097, CDSL - complains@cdslindia.com, 18002250553, SEBI - URL/http://scores.gov.in, 1800227875

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 F) List of two character ISO 3166 country codes is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only Application Type* ☐ New ☐ Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)
 Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

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

PHOT

Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence*
 Tax Identification Number or equivalent (If issued by jurisdiction)*
 Place / City of Birth* ISO 3166 Country Code of Birth*

☐ **3. PROOF OF IDENTITY (PoI)*** (Please refer instruction C at the end)(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

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

4. PROOF OF ADDRESS (PoA)*☐ **4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others
☐ Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

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

KYC VERIFICATION CARRIED OUT BY / IN PERSON VERIFICATION

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
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☐ **1. PERSONAL DETAILS** (Please refer instruction A at the end)

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

PHOT

Signature / Thumb Impression

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

ISO 3166 Country Code of Jurisdiction of Residence*
 Tax Identification Number or equivalent (If issued by jurisdiction)*
 Place / City of Birth* ISO 3166 Country Code of Birth*

☐ **3. PROOF OF IDENTITY (PoI)*** (Please refer instruction C at the end)(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

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

4. PROOF OF ADDRESS (PoA)*☐ **4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others
☐ Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

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

KYC VERIFICATION CARRIED OUT BY / IN PERSON VERIFICATION

**PART A - MANDATORY DOCUMENTS
AS PRESCRIBED BY
SEBI & EXCHANGES**

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

PHOTOGRAPH
Please affix your
recent passport
size photograph
and sign across it

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Father's/ Spouse Name: _____
3. a. Gender: Male/ Female b. Marital status: Single/ Married c. Date of birth: (dd/mm/yyyy)
4. a. Nationality: _____ b. Status: Resident Individual/ Non Resident/ Foreign National
5. a. PAN: _____ b. Unique Identification Number (UID)/ Aadhaar, if any: _____
6. Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

1. Address for correspondence: _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mob.No.: _____
Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant): _____

City/town/village: _____ Pin Code: _____ State: _____ Country: _____
5. Specify the proof of address submitted for permanent address: _____

C. OTHER DETAILS

1. Gross Annual Income Details (please specify): Income Range per annum: Below Rs 1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / >25 Lacs or
Net-worth as on (date) _____ (.....) (Net worth should not be older than 1 year)
2. Occupation (please tick any one and give brief details): Private Sector/ Public Sector/ Government Service/Business/ Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others _____
3. Please tick, if applicable: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)
4. Any other information: _____

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.

Signature of the Applicant

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

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

(.....)
Signature of the Authorised Signatory

Date _____

Marfatia Stock Broking Pvt. Ltd.
2nd - 3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road, Vadodara - 390 007.
KNOW YOUR CLIENT (KYC) APPLICATION FORM *For Non Individuals*

PHOTOGRAPH
Please affix your
recent passport
size photograph
and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ (dd/mm/yyyy) & Place of incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy)
4. a. PAN: b. Registration No. (e.g. CIN): _____
5. Status (please tick any one):

Private Limited Co./Public Ltd. Co./Body Corporate/Partnership/Trust/Charities/NGO's/FI/FII/HUF/AOP/
Bank/Government Body/Non-Government Organization/Defense Establishment/BOI/Society/LLP/ Others (please specify)

B. ADDRESS DETAILS

1. Address for correspondence: _____
- City/town/village: _____ Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____
- Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Permanent Address (if different from above): _____
- _____
- City/town/village: _____ Pin Code: _____ State: _____ Country: _____
5. Specify the proof of address submitted for registered address: _____

C. OTHER DETAILS

1. Gross Annual Income Details (please specify): Income Range per annum: Below Rs 1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / 25 Lacs-1 crore / > 1 crore
2. Net-worth as on (date) _____ (.....) (*Net worth should not be older than 1 year)
3. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: _____
- _____
4. DIN/UID of Promoters/Partners/Karta and whole time directors: _____
5. Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors: Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)
6. Any other information: _____

DECLARATION

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

Name & Signature of the Authorised Signatory _____

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

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

(.....)
Signature of the Authorised Signatory

Date _____

Seal/Stamp of the intermediary

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, 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.

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.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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

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. • Authorized 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. • Authorized 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 authorized to act as authorized signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Annexure - 3
TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-individuals






A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account No.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC Code

B. DEPOSITORY ACCOUNT(S) DETAILS

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

C.


TRADING PREFERENCES			
Please sing in the reievant boxes where you wish to trade. Please strike off the segment not chosen by you.			
Exchanges	NSE, BSE		MCX
All Segments	Cash / Mutual Fund	F&O*	Commodity Derivatives
3  Sign	4  Sign	5  Sign	6  Sign
If you do not wish to trade in any of segments / Mutual Fund, please mention here			
7  Sign			

This letter is in addition to the authorization/preference given earlier by me/us to you modifying my/our trading preferences.

I/We further confirm having read and understood the contents of the 'Rights and Obligations' document (s) and 'Risk Disclosure Document'. I/We do here by agree to 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 **Marfatia Stock Broking Pvt. Ltd. designated website : <https://marfatia.net/>**

Please process my request to enable trading in the mentioned segment(s).

Thank you for your attention to this matter, Sincerely,

Trading Code :	
Name of client :	
Signature of Client :	8 
(In case of Non-individual clients, affix relevant Company Stamp and Signed by authorizwd Signatoies The Modification letter should be signed in the same order as it has been signed in the original KYC) :ATTACHMENTS:	

1. For F&O and CDS Segment, Income Proof.
2. KRA Form duly completed and signed, if required.
3. Self-attested and verified with original copy of PAN and verified with copy of PAN address proof, if require.

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:

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name:

SEBI Registration number: Registered office address:

.....

.....

.....Ph: Fax: Website:

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

Name of stock broker:.....Name of Sub-Broker, if any:.....

Client Code:Exchange:

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

F. ADDITIONAL DETAILS

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

Specify your Email id, if applicable:

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

Number of years of Investment/Trading Experience:

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:

.....

.....

Any other information:

G. INTRODUCER DETAILS (optional)

Name of the Introducer:

(Surname)

(Name)

(Middle Name)

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

Address and phone no. of the Introducer:

.....

..... Signature of the Introducer:

H. NOMINATION DETAILS (for individuals only)

I/We wish to nominate ☐

I/We do not wish to nominate ☐

Name of the Nominee:Relationship with the Nominee:

PAN of Nominee:Date of Birth of Nominee:

Address and phone no. of the Nominee:

.....

If Nominee is a minor, details of guardian:

Name of guardian: Address and phone no. of Guardian:

.....

..... Signature of 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.....

 ⁹ (.....)
Signature of Client/ (all) Authorized Signatory (ies)

In person Verification Form of KYC OF DP AND TRADING FORM

Particulars	NAME	Documents verified with Original YES/NO	Client Interviewed Verification done by NAME	In-Person Verification done by. NAME	Verified by KYC Department
Name of the Employee					
Designation of the employee					
Sub Broker/Authorised person / Branch Name					
Name of Person					
Sub Broker/Authorised person / Branch Address					
Photograph Attached					
Photograph send from email ID					

Dated:-

I /we undertake that I/we have verified all the documents with original. Also interview with client and he/she is currently healthy, fit and living.

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge. In case any of the above information is found or untrue or misleading or misrepresenting, I/We are aware that I/we may be held liable for all misleading information. Enclosed is Photograph of client with the employee/sub broker/Authorised Person who has done in person verification. We have sent soft copy of photo on email ID inpersonverification@marfatia.net.

.....
Signature of the Authorised Signatory

Date Seal/Stamp of the stock broker

FOR OFFICE USE ONLY

UCC CODE ALLOTTED TO CLIENT
BOI ID ALLOTTED TO CLIENT

TRADING AND DEMAT VERIFICATION PROCESS

We have verified all details filled by client in KYC form i.e. Name, Address, Bank Details , Demat Details, Signature of client, Introducer/ Sub-broker/Authorised Person Signature , Email –Id, Mobile Number.

- 1) All documents verified with original documents by Sub-broker/Authorised Person/Employee

Sub-Broker Name:
AP Name:
Employee Name:

3) Verified by Calling:
Date:
Time:

2) Maker Name:

Date:
Time:

4) Checker Name:

Date:
Time:

Sign_____

Sign_____

Sign_____

Sign_____

SELF DECLARATION

Marfatia Stock Broking Pvt. Ltd.

2nd - 3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road,
Vadodara - 390 007.

I hereby declare my annual income for financial year _____, is Rs. _____, for financial year _____, is Rs. _____, for financial year _____, is Rs. _____, as per my income tax return submitted with income tax department. Also I declare that my network as on _____ is Rs. _____

The information given by me is true and I will be liable for the same.

From
Name and Address

 _____
10 (Signature of Client)

Additional Form for Opening Demat Account



REGD. OFFICE : 2nd -3rd & 4th floor, Glacier Complex, Nr. Pizza Bell, Jetalpur Road, Vadodara - 390 007 PH. : 0265 2351 355.
 FAX : 0265 - 2351468, E-mail : customercare@marfatia.net • enquiry@marfatia.net • research@marfatia.net
 Web Site : www.marfatia.net DP ID No. : 12044400, SEBI REG. No. IN-DP-CDSL-354-2006

For Individuals

Additional KYC Form for Opening a Demat Account

Annexure 2.1

Depository Participant Name/Address

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID										
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 following details:-

Holders Details

Sole / First Holders Name		PAN															
		*UID															
Second Holders Name		PAN															
		*UID															
Third Holders Name		PAN															
		*UID															

Name *	
---------------	--

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the 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 Directors 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 minor)

Guardians 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 Requirement	<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)	
--	--

Do you wish to receive dividend / interest directly in to your 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		PIN code				

- (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.

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory, if you are giving Demat Debit & Pledge Instruction (DDPI/POA))] (If DDPI/POA is not granted & you do not wish to avail of this facility, cancel this option.)													
<u>\$Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure 2.6</u>	<u>^{\$}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.</u> <input type="checkbox"/> Yes <input type="checkbox"/> No <u>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</u> <table border="1" style="width: 100%;"> <thead> <tr> <th><u>Stock Exchange Name/ID</u></th> <th><u>Clearing Member Name</u></th> <th><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>									
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<i>Easi</i>	To register for <i>easi</i> , please visit our website www.cdslindia.com . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.													

REGD. OFFICE : 2nd -3rd & 4th floor, Glacier Complex, Nr. Pizza Bell, Jetalpur Road, Vadodara - 390 007
 FAX : 0265 - 2351468, E-mail : customercare@marfatia.net • enquiry@marfatia.net • research@marfatia.net
 Web Site : www.marfatia.net DP ID No. : 12044400, SEBI REG. No. IN-DP-CDSL-354-2006

NOMINATION FORM FOR DEMAT ACCOUNT

(Multiple Nominee Option)

DATE: / / 20

FORM FOR NOMINATION/CANCELLATION OF NOMINATION (To be filled in by Individual applying singly or Jointly)																																																																					
CDSL DP Id		1	2	0	4	4	4	0	0																Trading ID																																												
																									Nomination No.																																												
NOMINATION FORM																																																																					
<input type="checkbox"/> I /WE THE SOLE HOLDER / JOINT HOLDERS/ GUARDIAN (IN CASE OF MINOR) HEREBY DECLARE THAT: I/We wish to make nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death [As per Details given Below]. This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.																																																																					
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="width: 25%;">Nomination can be made up to three nominee in the account</th> <th style="width: 25%;">Details of 1st Nominee</th> <th style="width: 25%;">Details 2nd Nominee</th> <th style="width: 25%;">Details of 3rd Nominee</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Name of the Nominee(s) (Mr./Mrs/Ms.)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>2</td> <td>Share of each Nominee</td> <td>Equally (if not equally, please specify %)</td> <td style="text-align: center;">%</td> <td style="text-align: center;">%</td> </tr> <tr> <td colspan="5" style="text-align: center;">Any odd lot after division shall be transferred to the first nominee mentioned in the form.</td> </tr> <tr> <td>3</td> <td>Relationship with applicant/BO [if any]*</td> <td></td> <td></td> <td></td> </tr> <tr> <td>4</td> <td>Address of Nominee(s)* City / Place: State & Country: PIN Code</td> <td></td> <td></td> <td></td> </tr> <tr> <td>5</td> <td>Mobile/Telephone No. of Nominee(S)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>6</td> <td>Email ID of Nominee (s)</td> <td></td> <td></td> <td></td> </tr> <tr> <td>7</td> <td> Nominee Identification Details [Please tick any one of and provide details of same] </td> <td> 1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI) _____ 2) Demat / Saving Bank Proof A/c No. _____ Bank/DP Details _____ 3) Photograph & Signature _____ <div style="border: 1px solid black; padding: 10px; text-align: center; margin-top: 10px;"> Please sign Across the Photograph </div> </td> <td> 1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI) _____ 2) Demat / Saving Bank Proof A/c No. _____ Bank/DP Details _____ 3) Photograph & Signature _____ <div style="border: 1px solid black; padding: 10px; text-align: center; margin-top: 10px;"> Please sign Across the Photograph </div> </td> <td> 1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI) _____ 2) Demat / Saving Bank Proof A/c No. _____ Bank/DP Details _____ 3) Photograph & Signature _____ <div style="border: 1px solid black; padding: 10px; text-align: center; margin-top: 10px;"> Please sign Across the Photograph </div> </td> </tr> </tbody> </table>																									Nomination can be made up to three nominee in the account		Details of 1st Nominee	Details 2nd Nominee	Details of 3rd Nominee	1	Name of the Nominee(s) (Mr./Mrs/Ms.)				2	Share of each Nominee	Equally (if not equally, please specify %)	%	%	Any odd lot after division shall be transferred to the first nominee mentioned in the form.					3	Relationship with applicant/BO [if any]*				4	Address of Nominee(s)* City / Place: State & Country: PIN Code				5	Mobile/Telephone No. of Nominee(S)				6	Email ID of Nominee (s)				7	Nominee Identification Details [Please tick any one of and provide details of same]	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI) _____ 2) Demat / Saving Bank Proof A/c No. _____ Bank/DP Details _____ 3) Photograph & Signature _____ <div style="border: 1px solid black; padding: 10px; text-align: center; margin-top: 10px;"> Please sign Across the Photograph </div>	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI) _____ 2) Demat / Saving Bank Proof A/c No. _____ Bank/DP Details _____ 3) Photograph & Signature _____ <div style="border: 1px solid black; padding: 10px; text-align: center; margin-top: 10px;"> Please sign Across the Photograph </div>	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI) _____ 2) Demat / Saving Bank Proof A/c No. _____ Bank/DP Details _____ 3) Photograph & Signature _____ <div style="border: 1px solid black; padding: 10px; text-align: center; margin-top: 10px;"> Please sign Across the Photograph </div>
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8	Date of Birth {in Case of Minor Nominees(s)}																																																																				
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		3) Photograph & Signature Please sign Across the Photograph	3) Photograph & Signature Please sign Across the Photograph	3) Photograph & Signature Please sign Across the Photograph
		Please sign Across the Photograph	Please sign Across the Photograph	Please sign Across the Photograph

	Name(s) of Account Holder(s)	Signature of Holder/ Thumb impression of Holder
Sole/First Holder(in case of Sole holder is Minor)(Mr./Ms./Mrs.)		
Second Holder (Mr./Ms./Mrs.)		
Third Holder(Mr./Ms./Mrs.)		
Guardian (in case sole holder is minor) (Mr./Ms./Mrs.)		

CANCELLATION OF NOMINATION/DECLARATION FORM FOR OPTING OUT OF NOMINATION		
<input type="checkbox"/> I/WE DO NOT WISH TO APPOINT ANY NOMINEE(S) IN MY/OUR TRADING/DEMAT ACCOUNT I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.		
Place : _____		Date: _____
	Name(s) of Account Holder(s)	Signature of Holder/ Thumb impression of Holder
Sole/First Holder(in case of Sole holder is Minor)(Mr./Ms./Mrs.)		
Second Holder (Mr./Ms./Mrs.)		
Third Holder(Mr./Ms./Mrs.)		
Guardian (in case sole holder is minor) (Mr./Ms./Mrs.)		

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 and for all credits as well.]

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 400001 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 accountholders 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 between 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 any 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).

BOID

1	2	0	4	4	4	0	0								
(Please write your 8 digit UPID)								(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)

11

Signatures

Sole / First Holder

Second Holder

Third Holder

Place: _____

Date : _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

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

DP ID	1	2	0	4	4	4	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,
Depository Participant Name
Address


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 Demat Debit & Pledge Instruction (DDPI/POA) / executed PMS agreement in favour of / with MARFATIA Stock Broking Pvt. Ltd. (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully


	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures  12			

OR

☐ **OPTION 2 :**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a (DDPI/POA) / executed PMS agreement in favour of with MARFATIA Stock Broking Pvt. Ltd. (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager, 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 Joint Holder	Third Joint Holder
Name			
Signatures  13			

===== (Please Tear Here) =====

Acknowledgement Receipt

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

DP ID									Client ID								
Name of the Sole / First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

Depository Participant Seal and Signature

Annexure A

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts).

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

UCC : _____



14

Signature : _____

Annexure-6

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

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com, www.bseindia.com, www.mcx-sx.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Demat Debit & Pledge Instruction (DDPI/POA) in favour of the Stock broker, authorizing it to operate your bank & demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlements made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the investors Grievance cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay out of funds / securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the investors Grievance cell of the relevant Stock exchange.
15. Please register your mobile no. and email id with the stock broker, to receive trade confirmation alerts / details of the transactions through SMS or e-mail, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/COMPLAINTS

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

Annexure-7

POLICIES & PROCEDURE

a) Policy for Penny Stock:

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

b) Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.) The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.) and the stock broker may be unable to inform the client of such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or its may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any one account of such refusal or due to delay caused by such refusal or due to delay caused by such be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the client s are uploaded in the system and client may take exposure on the basis of marg in applicable for respective on the basis of marg in applicable for respective security as per VAR based margining system of the stock exchange and/or margin de fine d by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of the client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

c) Applicable brokerage rate :-

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

d) Imposition of penalty / delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for non making payment of their pay in/margin obligation on time as per the exchange requirement/schedule at the rate up to 2% per month. The Client agrees that the stock broker may impose fines / penalties for any order / trades / deals / actions of the client which are contrary to this agreement / of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such for mas it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

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

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any against the clients liabilities/obligations.

The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting

Continued to page 2 of Policy & Procedures

his/her/ its pay in obligation of funds and securities. Any and all losses and financial changes on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc. will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security & / or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

f) Shortages in obligations arising out of internal netting of trades

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

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

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

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

h) Temporarily suspending or closing a client's account at the client's request

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

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

Continued from page 1 & to page 3 of Policies & Procedures

I) Deregistering a client:-

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

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

Inactive Client account: -

Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall be fully liable and responsible for any such problem/fault.

Client Acceptance of Policies and Procedures stated here in above :

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

Procedure of activation of inactive client :

All clients who have not traded for a period of more than one year are considered by us inactive clients. For activation of such clients we take the oral or written consent of the client and there after we contact the client on his mobile number and after that only if the client wants to trade we activate his account number. His exposure limits are again set on the basis of credit available in his account.

Continued from page 2 of Policies & Procedures



Life Time AMC is for 10 years

CHARGE SCHEDULE OF DEPOSITORY SERVICES

please mark the scheme	Sr. No	Scheme	Annual Maintenance Charges	Off Market Trf	Market Payin in MSBPL	Market Payin in OUTSIDE	Pledge	Dematerialisation
	1	CORP	Rs.2000	Rs.25 / 0.025%	Rs.25 / 0.025%	Rs.25 / 0.025%	Rs.25	Rs.65+ Rs.2 per Certi.
	2	GENERAL	Rs.250*	Rs.15 / 0.025%	Rs.15 / 0.025%	Rs.15 / 0.025%	Rs.25	Rs.65+ Rs.2 per Certi.
	3	AMC 1	Rs.150	Rs.30 / 0.025%	Rs.30 / 0.025%	Rs.30 / 0.025%	Rs.25	Rs.65+ Rs.2 per Certi.
	4	MKTPY449	450	Rs.30	Nil	Rs.30	Rs.25	Rs.65+ Rs.2 per Certi.
		LIFE TIME SCHEME						
	5	LT999	999	Rs.25 / 0.025%	Rs.25 / 0.025%	Rs.25 / 0.025%	Rs.25	Rs.65+ Rs.2 per Certi.

Taxes as per applicable

* In GENERAL scheme AMC will be charged after one year [Free for 1st Year]

please mark the scheme which you want to opt

GST @ 18% (or as applicable)

Detailsof Brokerage and Charges Structure

Brokerage Scheme / Module No.		Cash Market		F&O	Currency	
Cash Market Segment		Min. Paisa	Percentage	Derivative Segment	Future Segment	Option Segment
First Leg				First Leg		
Second Leg (same day sq. off)				Same day square off		
Delivery Brokage				next day square off		

Default brokage

Minimum Brokage will be 0.01 paisa per share applicable for future segment
Default brokage

Currency Derivatives Segment	Future Sagement	Options Sagment*
First Leg		
same day sq. off		
Next day quare off		

* Minimum amount per lot would be applicable as per the details provided in the policy and procedures. Option brokerage are charged @ as agreed or maximum 2.5% of premium subject to maximum Rs. 100.00 per lot.

Minimum Brokerage will be 0.01 paisa per quantity applicable for currency futures segment

- expiry changes would be charged as applicable
- Statutory cost will be charged as per Exchange/ Regulatory Authorities
- KYCRegistration Agency (KRA) Charges will be levied as applicable.
- Please refer the details of default brokerage, standard brokeragem on option segment sandschedule of charge sin the policy and procedures

Name & Sign of First / Sole Holder / Authorized Signatory


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Name & Sign of Second Holder / Authorized Signatory



Name & Sign of Third Holder / Authorized Signatory



Signature of Broker

Signature of Sub- Broker / Authorised Person / Introducer

Disclosure Information (For Marfatia Stock Broking Pvt. Ltd.)

To,

Sir,

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India Ltd. (NSE) Bombay Stock Exchange of India Ltd. (NSE)/Bombay Stock Exchange Ltd. (BSE)

Thanks and best regards.

For Marfatia Stock Broking Pvt. Ltd.

Authorised Signatory / Director

I acknowledge the receipt of information given above by.....that they do Client base trading and Pro-account trading.

Client Name :

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



17 _____
Signature of the Client

PART B - NON MANDATORY DOCUMENTS

VOLUNTARY

SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES

(Ref: SEBI circular No. CIR/MIRSD/15/2011 dated August 02, 2011)

I request you to enroll me for the following facility offered by the Stock Exchanges pursuant to above referred SEBI circular

☒ SMS Facility on Mobile No provided in my KYC

1.	Mobile No Belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Family Number
2.	In case of family member please specify the relationship: <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/> Spouse		
3.	PAN No. of the family Member whose Mobile No is provided above: _____		

☒ E-mail Facility on email id provided in my KYC

1.	E-mail ID Belongs to	<input type="checkbox"/> Self	<input type="checkbox"/> Family Number
2.	In case of family member please specify the relationship: <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input checked="" type="checkbox"/> Spouse		
3.	PAN No. of the family Member whose Email ID is provided above: _____		

Note:

1. Individual Client is invariably required to provide his own Mobile No. except in case of family members where the following relationship exist Dependent Child OR Dependent Parent OR Spouse.
2. Non Individual client shall provide the Mobile/ Email details of the person authorized to receive such communication and as provided in the KYC.
3. Client may please note that Mobile No. of Trading Member (TM)/ employees of TM/ Sub broker/ Authorised person are not permitted for receiving the SMS/ Email communication from exchanges.
4. Client may note that the circular is available for download on the exchange's website.

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Place : MUMBAI

Date : _____

Client Name: _____
Client Code: _____
Date: _____

RUNNING ACCOUNT AUTHORIZATION - Voluntary

To,
Marfatia Stock Broking Pvt. Ltd.
2nd -3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road,
Vadodara - 390 007

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

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s) Clearing corporation unless I/we instruct you otherwise.

2. I/We hereby authorize the trading member to make actual settlement of funds in respect of my/our trading account at least once in a:

Quarter ☐ (90 days) ☐ Month (30 days)

3. I/We hereby authorize the Company to retain such amount as may be prescribed by SEBI / Exchanges from time to time while making actual settlement of funds. The settlement of running account of funds of the client shall be done by the TM after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchanges on first Pnday of the succeeding Quarter/ Month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.

4. I/We are aware that if we have credit balance and we have not done any transaction in the 30 calendar days since the last transaction, the credit balance shall be returned to the client by trading member, within next three working days irrespective of the date when the running account was previously settled. However, if I/we have an open position in the derivatives segment, then the date of contract expiry or the date on which position is closed may be treated as last transaction date, for the purpose of computing 30 calendar days for returning the credit balance to such clients.

5. I/We understand that we shall be sent the retention statement along with the statement of running accounts as per the existing provisions within 5 working days and in case there is any dispute in the statement of account or settlement so made, I/We shall intimate the same within 30 working days from the date of the statement. I/We are aware that once the TM settles the running account of funds, an intimation shall be sent to me/us by SMS on mobile number and also by email.

6. I/We understand that this authority for maintenance of funds on running account basis may be revoked by me/us at any time giving instruction in writing and shall remain in force until revoked by me in writing.

Thanking You,



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1 _____
(Signature of Client)

2 _____
(2nd A/c Holder)

3 _____
(3rd A/c Holder)

Client Name: _____
Client Code: _____
Date: _____

AUTHORIZATION FOR ELECTRONIC CONTRACT NOTE- Voluntary

To,
Marfatia Stock Broking Pvt. Ltd.
2nd -3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road,
Vadodara - 390 007

Sub : Issue the contract notes in digital form/ other documents / Ledger / Investor report / DP Holding / Shares lying in M.S.B.P.L. account / Daily margin analysis statement /m Quarterly statement of Shares, Account Ledger, Statement of transfer of Shares.

I/We hereby / agree and consent to accept the contract notes digital form / other documents / Ledger / Investor report / DP Holding / Shares Lying In M.S.B.P.L. account / Daily margin analysis statement / Quarterly statement of share - Account, Ledger, Transfer Statement for transaction carried on by me/us with all of you or any one of you, in terms of the agreement entered into between us in digital form. Digital contracts issued by you as per the terms and conditions specified (in annexure attached) shall be binding on me/us. I/We undertake to check the contract notes and bring the discrepancies if any to your notice within 24 hours of such issuance of contract notes. My/Our non-verification or not accessing the contract note on regular basis shall not be a reason for disputing the contract note at any time.

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segments. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that . I/We have option to receiver the contract notes in physical form or electronic form. In pursuance of the same. I/We here by opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account "for you to send the electronic contract notes. Accordingly, please take the following email account(s) / email id on your record for sending the contract notes to me/us.

My Email Id is : _____

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/email id(s).

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non receipt / delayed receipt for any reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that.

Thanking you



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Signature of the Client

Client Name: _____
Client Code: _____
Date: _____

To,
Marfatia Stock Broking Pvt. Ltd.
2nd -3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road,
Vadodara - 390 007

**AUTHORIZATION LETTER BY CLIENT GIVING AUTHORITY TO SEND TRADES, BILL
AMOUNT, LEDGER BALANCE BY MOBILE
SMS FACILITY ON MOBILE**

SMS facility on mobile is for receiving SMS services from Marfatia Stock Broking Private Limited. Through mobile Marfatia Stock Broking Private Limited sends SMS to clients for their ledger balance, amount of bill for trading done at NSE Cash segment, NSE FO segment, NSE Currency Derivative segment, BSE Cash segment, BSE FO segment.

As client of Marfatia Stock Broking Private Limited client himself will be responsible for all the SMS received by him from Marfatia Stock Broking Private Limited regarding the services mentioned above. If the client is unable to read and understand the SMS then he will be personally responsible for the same and Marfatia Stock Broking Private Limited or any of its staff members will not be responsible for the same. If there is any query in the SMS receive by him he will report in writing in 24 hours to Marfatia Stock Broking Private Limited or he will responsible for all the SMS receive by him including trades, bill amount & all other thing mentioned by Marfatia Stock Broking Private Limited Also Marfatia Stock Broking Private Limited will not be responsible for non-performance of any tips.

According to the client his mobile number for sending SMS is_____.

The client has requested to upload the mobile number in our system and whenever requires to change the mobile Number he will give in writing to Marfatia Stock Broking Private Limited. In case my mobile number registered with MSBPL is similar with any other mobile number registered with MSBPL, then it can be the case of my family or friends who always pass on the information about trades etc. to me & vice versa. For this common mobile number MSBPL will not be considered responsible for creating such mobile number & sending sms of trade confirmation of different client trading account on such same mobile.

The Client hereby accept the above mentioned terms & conditions. Thanking You


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Signature of the Client

Authorisation for Debit of Charges to DEMAT ACCOUNT (VOLUNTARY DOCUMENT)

To,
Marfatia Stock Broking Pvt. Ltd.
2nd - 3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road,
Vadodara - 390 007.
Tel : 0265-2351355
Fax : 2351468

I/We hereby authorize you to debit all charges in respect of the Demat Account No. _____ payable by me/us to my Trading Account No. _____. I/We hereby authorize you to change interest at the applicable rate in case of delay in payment.

I/We also hereby undertake you to arrange to exercise lien over my / our securities lying in Demat Account maintained by me/us till the dues are remitted in full by me/us.

I/We specifically agree and confirm that any matter of issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian Laws and shall be subject to the jurisdiction of the Court of Vadodara.

I hereby declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information, I shall not hold you responsible. I/We hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Thanking You
Yours Faithfully,

Name & Sign of First / Sole
Holder / Authorized Signatory


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Name & Sign of Second Holder
/ Authorized Signatory



Name & Sign of Third Holder
/ Authorized Signatory



Client Name: _____
Client Code: _____
Date: _____

To,
Marfatia Stock Broking Pvt. Ltd.
2nd -3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road,
Vadodara - 390 007

CLIENT DEFAULTER DECLARATION

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

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



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(Signature of Client)

Client Name :

(Note ; To be signed by person himself/herself not to be signed by his/her attorney/authorised person
etc.)

FATCA DECLARATION

Details under FATCA and CRS (see instructions)

Tax residence declaration-tick any one, as applicable to you:

- ☐ I am a tax resident of India and not resident of any other country
Or
☐ I am a tax resident of the country/ies mentioned in the table below

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID Number below:

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

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

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

Certification

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

Name :

Signature:



24 _____
(Signature of Client)

2 _____
(2nd A/c Holder)

3 _____
(3rd A/c Holder)

Date : ____ / ____ / ____

Place: _____

FATCA-CRS Terms and Conditions

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

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

Please note that you may receive more than one request for information if you have multiple relationship with Marfatia Stock Broking Ltd. or its group entities. Therefore, it is important that you respond to our request even if you believe you have already supplied any previously requested information.

FATCA-CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. **If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax**

Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

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

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

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

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

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

Client Name: _____
Client Code: _____
Date: _____

Mutual Fund Service System Facility

Date: _____

To,

Marfatia Stock Broking Pvt.Ltd.
2nd -3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road,
Vadodara - 390 007

Sub: Mutual Fund Service System (MFSS) facility

Dear Sir

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated _____ and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

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

I/We therefore request you to register me/us as your client for participating in the MFSS.

Thanking you,

Yours faithfully,



25 Signature of the Client

Client Name: _____
Client Code: _____
Date: _____

To,
Marfatia Stock Broking Pvt. Ltd.
2nd -3rd & 4th floor, Glacier Complex,
Nr. Pizza Bell, Jetalpur Road,
Vadodara - 390 005

ANTI MONEY LAUNDERING (CUSTOMER DUE DELIGENCE CLAUSE)

- I. The sub-broker must ensure that sufficient information about the client has been furnished. This is required to identify who is the actual beneficial owner of the securities transaction or for whom and/or on whose behalf transaction is conducted.
 1. The trading member adopts such policies or may resort to such measures as to such measures as the establish the credentials of the client's database submitted.
 2. Periodically, as and when the trade columes register a hike and profits cross the limit vis-a-vis the financial status of the client produced with documentary evidence, the member reserves the right to probe a channel or source form which the client is receiving funds to carry on the trade. In such an event the authenticity or otherwise of the source of funds is established and if the source is proved to be questionable the client will be disabled from carrying on further trade and this agreement becomes void.
- II. In the true spirit of the agreement the Trading ember beliveves that each and every transaction done by the client is genuine. If any discrepancy is noticed in the transaction at any point of time later the management has every right to detect such discrepancy in order to take preventive/corrective measure, hich include sending confidential, reports to the concerned authorities under the law. If malpreactice continues in the trade even after sufficient educational advice has been given to the client, the client runs the risk of losing his trading rights, may be for a brief period or sine die.

KYC-NORMS

1. The client must furnish all required information such as financial statements client ledger etc. completely
2. It is the duty of the client to submit change in residential address with documentary evidence as defined under the field mandatory/voluntary.
3. The updated financial submitted in KYC form, any other information relevant and pertinent to the letter and spirit of the KYC form may be gathered from the client. The client has to furnish such details as are required when called upon to de so.

Signatures :


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Member : _____ Sub Broker : _____ Client _____

GENERAL TERMS & CONDITIONS OF MARFATIA STOCK BROKING PVT. LTD.

The following clauses are not part of model formats of uniform set of documents prescribed by SEBI under uniform Documentary requirement vide its circular number SEBI/MIRDS/DPS-1/CIR31/2004 dated August 26, 2004. These clauses have been added in order to ensure smooth functioning of trading and to enhance the transparency of member -client relation. The client is further informed that he/she/it may strike out any of these clauses, if he/she/it does not wish to accept the same.

1. In compliance with the SEBI directive vide its circular no: SEBI/MRD /SE/cir42/2003 dated 19th November 2003, Member hereby confirms that the investment in the equity markets are undertaken by the Member on its own account to deploy the temporary surpluses arising in the Ordinary course of business on proprietary basis.

2. Transaction in cash /Derivatives segment

In case of the client undertaking the transactions simultaneously in Cash and derivatives segments, the client specifically agrees:

- a. That the shares received from the stock exchange in the payout of cash segment may discretion of the Member be transferred to the clients derivatives Margin Account to be utilized as margin for the Derivatives transaction that the client may undertake.
- b. That the client authorizes the Member to transfer such purchased by the client in the cash segment to clearing Member/Exchange towards margin requirements for clients derivatives as the Member may deem fit or expedient.
- c. The client understands that release of the shares held as aforesaid (as margin) and the transfer of the same to the clients designated DP account would take up to four days and in this view, the client agrees to give instruction to square off the relevant derivatives transaction (or to roll over the same) at least four trading days before the settlement date for the derivatives segment.
- d. The client further agrees not to hold the Member responsible for the delay that may occur due to the reasons beyond the reasonable control of the Member.

3. INVESTMENT ADVISE.

- a. The client acknowledges that the member shall not be liable to provide him with any legal, fax, investment or accounting advise or advise regarding the suitability or profitability of the securities or investments.
- b. The client also acknowledges that the members employees are not authorize to give any such advise unless the same is having regard to the financial status and the risk perception of the client and that the client will not solicit or rely upon any such advise from the member or any of its employees.
- c. The client understand without any ambiguity that the member does not have any product which guaranties assured return and he/she/it is solely responsible for any market risk in respect of transaction conducted through the member.
- d. The client agrees that in the event of the member or any employee of official of the member providing any information, recommendation or advise to the client, the client may act upon the same at the sole risk and cost of the client, and the member shall not be liable or responsible for the same.
- e. The client assumes full responsibility with respect to his investment decisions and transactions.
- f. The member, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the clients.

4. INDEMNIFICATION

The client hereby indemnifies and keep indemnified and holds the Member harmless from and against all claims, demands actions ,proceedings, losses damages, liabilities, charges and /or expenses that are occasioned to the Member directly or indirectly relating to bad delivery of shares / securities and / or third party delivery, whether authorized or unauthorized and fake / forged /stolen shares / securities / or proof or address, identity and other supporting /documents provided by the client at the time client registration and or subsequently.

Continued to page 2 of
General Terms & Conditions

5. DECLARATION OF CLIENT

- a. The client confirms having read and understood the terms and conditions of this agreement and those relating to various service and products and accepts and agree to be bound by the terms and conditions Including those relating to exculpating limiting the Member's and exchange liabilities.
- b. The client further confirms and declares that investments in securities carries risk and notwithstanding any recommendation made by the Member, the client will take buy /sell decisions at his sole discretion after evaluating such risk and shall not hold the Member liable for any loss arising from such purchase/sales

6. INDEMNITY JOINT HOLDINGS

The client hereby agrees to indemnify and keep Indemnified and hold the Member harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and / or expenses arising from transactions in securities held jointly by the client with any other person ,if any

7. AMENDMENT

Member may from time to time amend the agreement if required for complying with any charges in the Rules, Regulations, and Buy-laws of the Exchanges and / or the SEBI notifications or with the requirements of any competent authority of it required under its corporate policies. The Member shall intimate the same to the client. In case the client continues to deal with the Member subsequent to the Intimation of such amendments, it shall be deemed that the client is agreeable to the new clauses, however, the client has the right to clearance by the client of its financial and other obligations under this agreement.

The client also has the right to terminate any one or more the optional clauses (s) contained in this agreement and / or intimated by the Member effect, subject to review of Member -client relation by the Member provided the client clears his / her/ its financial and other obligations under the agreement before termination of clause (s) for which notice has been given by the client.

- 8. The client agrees to keep the member updated of his/her/its financial status by providing networth certificate/copy of IT returns/Balance Sheet and other financial statements/documents.

9. FORCE MAJEURE

The member shall not be responsible for any losses, costs, or damages resulting directly or indirectly from:

- (i) any action, omission, suspension or trading, decision or ruling of any exchange or regulatory government or other body or of any other person which is beyond the member's control (including floor broker, exchange, dealing or clearing house) or,
- (ii) any war, strike, lockout, natural disaster, act of terrorism, delay in postal service or any other delay or inaccuracy in the transmission of orders or information, or any breakdown, failure or malfunction which is beyond the control; of the member of any telecommunication or computer system.
- (iii) The above force majeure events do not exempt the client to fulfill the obligations in his account with the member.

10. ASSIGNMENT

Either party to this agreement shall not assign or transfer all or any of its rights or obligations hereunder without the prior consent in writing of the other party.

11. SEVERANCE

In case anyone or more of the provisions contained in this agreement becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforce ability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

12. NON-WAIVER

No failure or delay either party to exercise any right, power or privilege hereunder shall operate as a waiver nor shall any single or partial exercise of any right, power or privilege preclude any other or further exercise thereof or the exercise of any other right, power or privilege as herein provided.

Continued from Page 1 & to 3 of
General Terms & Condition

13. JURISDICTION

All trades, transactions and contracts, are subject to the Rules and Regulations of the exchange shall be subject to the exclusive jurisdiction of the courts in Vadodara.

The stamp duty and registration charges, if any, payable on these presents and the duplicate shall be borne and paid by the client.

DECLARATION Research/trading recommendation:

I/We understand that the Marfatia Stock Broking Pvt. Ltd. produces fundamental and trading research/notes/trading calls/technical calls particularly on companies industry, stock markets, commodity markets and economy from time to time (collectively hereinafter, referred to as 'material'). I/We hereby request you to provide us with such material through email or by access to the website of Marfatia Stock Broking Pvt. Ltd. or through sms or any other mode on voluntary basis.

I here by accept the general terms & conditions of Marfatia Stock Broking Pvt. Ltd. and I abide to follow and accept all general rules & regulations of Marfatia Stock Broking Pvt. Ltd.

Thanking you,

Client Name : _____

Continued From Page 2 of
General Terms & Conditions

PLEASE READ & CHECK CAREFULLY BEFORE SIGNING



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Signature of the Client