

**ALB STOCK BROKING PVT. LTD.**

**Regd. Office Address** : Shaan 203, Nr. Sakar II, Opp. Town Hall,  
Ellisbridge, Ahmedabad - 380 006.  
CIN : U67120GJ2009PTC 058361

**Phone** : 079-26576441/42

**Fax** : 079-26576440

**Website** : www.albstock.co.in

Detail	NSE Cash Segment	NSE F&O Segment	BSE Cash Segment	BSE F&O Segment
SEBI Reg.No.	INB231359937	INF231359937	INB011359933	INF011359933
SEBI Reg.Date	21/12/2009	21/12/2009	27/7/2010	27/7/2010
Member Code	13599		6127	

**NSE F&O Clearing Member Name** : IL&FS Security Services Ltd.  
**Address** : IL&FS HOUSE, RAHEJA VIHAR, CHANDIVILI, ANDHERI (EAST), MUMBAI  
**Phone Number** : 022-28570965  
**IG Email ID** : [fno.group@issl.co.in](mailto:fno.group@issl.co.in)  
**Clg No.** : C50008  
**SEBI Registration No.** : INF231133630  
**SEBI Registration Date** : 2/6/2000

**CEO/COMPLIANCE OFFICER DETAILS**

Name	E-mail	Phone
<b>Bhadresh Maniyar</b>	bhadresh@albstock.co.in	079-66623860

for any grievance / dispute please contact Alb Stock Broking Pvt.Ltd at the above address or  
e-mail ID : [grievances@albstock.co.in](mailto:grievances@albstock.co.in) and phone : 079-66623860

In case not satisfied with the response, please contact the concerned Exchange(s) at

Exchange	E-mail ID	Phone/Fax No.
NSE	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	(022)26598190 (022)26598191
BSE	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	(022) 22728097

**DP DETAILS**

DP ID	SEBI Registration No.	SEBI Registration Date
12064900	IN-DP-CDSL-61-2015	29/4/2015

## ACCOUNT OPENING KIT

### INDEX OF DOCUMENTS

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**FOR INDIVIDUALS** **FOR DEMAT ACCOUNT****ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT**

Depository Participant	: <b>ALB STOCK BROKING PVT. LTD.</b>	
	"Shaan - 203, Nr. Sakar-II, Opp. Town Hall, Ellisbridge, AHMEDABAD - 380006 • Tel. : 079-26576441 Fax : 079-26576440 E-mail : albstock@yahoo.com • Grievances E-mail ID : grievances@albstock.co.in	
DP SEBI Regn. No.	: <b>IN-DP-CDSL-61-2015</b>	DP ID : <b>12064900</b>

Application No.		Date			-			-	2	0	1	
DP Internal Reference No.												
DP ID	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>4</b>	<b>9</b>	<b>0</b>	<b>0</b>	Client ID			

(To be filled by the applicant in **BLOCK LETTER** in English)

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

HOLDERS DETAILS		PAN										
Sole/First Holder's Name		PAN										
		UID										
Second Holder's Name		PAN										
		UID										
Third Holder's 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"/> <b>INDIVIDUAL</b>	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c. (MANTRA)	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> <b>NRI</b>	<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 HUF / AOP <input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> <b>Foreign National</b>	<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)**

DETAILS OF GUARDIAN (in case the account holder is minor)		PAN										
Name of Guardian												
Relationship with 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 instruction 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 E-mail ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with RTA"	<input type="checkbox"/> Yes <input type="checkbox"/> No

I/We would like to receive the annual report in (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic
I/we 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
"I/We would like to Opt the Consolidated Account Statement in (If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> NO CAS

**BANK DETAILS (Dividend Bank Details)**

Bank Code (9 Digit MICR Code)									
IFS Code (11 Character)									
Account Number									
Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Address									
City	State		Country		Pin				
(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. • In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.									

**OTHER DETAILS**

<b>1. Gross Annual Income Details</b> (Please tick (✓): <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> > 25 Lacs <b>OR Net-worth in ₹.</b> _____ (should not be older than 1 year) <b>as on (date)</b> ___ / ___ / ___
<b>2. Occupation</b> (Please tick (✓): any one and give brief details): <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Othes (Please specify) _____
<b>3. Please tick, if applicable:</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) For detifinition of PEP, please refer guideline
<b>4. Any other information:</b> _____


<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure-2.4</b>	MOBILE NO. <input type="text" value="+"/> <input type="text" value="9"/> <input type="text" value="1"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> Yes <input type="checkbox"/> No
	(Mandatory, if you are giving Power of Attorney (POA) (If POA is not granted & you do not wish to avail of this facility, Cancel this Option)	

<b>Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure-2.6 (If marked 'Yes')</b>	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. <input type="checkbox"/> Yes <input type="checkbox"/> No		
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.		
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

<b>easi</b>	To register to easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.
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NOMINATION DETAILS									
Nomination Registration No.									
Dated									
I / We the sole holder / Joint Holders / Guardian (in case of minor) hereby declare that :									
<input type="checkbox"/> I/We <b>do not wish to nominate any one for this demat account.</b>									
<input type="checkbox"/> I/We <b>nominate</b> the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of my / our death.									
NOMINEE DETAILS									
Full Name of the Nominee									
Address									
City		State							
Country		Pin Code							
Telephone No.		Fax No.							
E-mail ID									
Relationship with BO (if any)									
Date of Birth (Mandatory if nominee is a minor)									
As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as <b>Guardian</b> :									
Full Name of the Guardian									
Address									
City		State							
Country		Pin Code							
Telephone No.		Fax No.							
E-mail ID									
Relationship with BO (if any)									
This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.									
Note : Two witnesses shall attest signature(s) / thumb impression(s)									
DETAILS OF THE WITNESS									
	First Witness				Second Witness				
Name of Witness									
Address of Witness									
Signature of Witness									

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature  (1/21)			

(Signatures should be preferably in black ink).

#### INSTRUCTIONS TO THE APPLICANTS (BOS) FOR ACCOUNT OPENING:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

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

### General Clause

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

### Beneficial Owner information

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

### Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

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

### Dematerialization

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

### Separate Accounts

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

### Transfer of Securities

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

### Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial

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

#### **Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

#### **Default in payment of charges**

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

#### **Liability of the Depository**

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

#### **Freezing/ Defreezing of accounts**

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

#### **Redressal of Investor grievance**

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

#### **Authorized representative**

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account



opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.


**Law and Jurisdiction**

- 26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
- 27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
- 28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository

and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

- 29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
- 30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
- 31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.


I/we have confirm the receipt of above document along with Client registration documents and I/we have read and understood the same.




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(2/21)

**First Holder / Sole Holder**




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**Second Holder**




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**Third Holder**

**TERMS AND CONDITIONS-CUM-REGISTRATION /  
MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL**

ANNEXURE 2.4

**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](mailto: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.



(3/21)

First Holder / Sole Holder



Second Holder



Third Holder

- 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	6	4	9	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(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 : \_\_\_\_\_

E-mail ID : \_\_\_\_\_

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

B. O. Signature

 First / Sole Holder	 Second Joint Holder	 Third Joint Holder
-------------------------	-------------------------	------------------------

Place : \_\_\_\_\_

Date : \_\_\_\_\_

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

								Date			-			-	2	0	1
DP ID	1	2	0	6	2	9	0	0	Client ID								

To,

**ALB STOCK BROKING PVT. LTD.**

Shaan 203, Nr. Sakar II, Opp. Town Hall, Ellisbridge, Ahmedabad - 380 006.

**Phone** : 079-26576441/42 • **Fax** : 079-26576440 • **Website** : www.albstock.co.in




Dear Sir /Madam,

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

 **OPTION : 1**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (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 Holder	Third Holder
Name			
Signature	 (5/21)		

OR

 **OPTION : 2**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (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 Holder	Third Holder
Name			
Signature	 (5/21)		

**ACKNOWLEDGEMENT RECEIPT**

Application No.		Date			-			-	2	0	1
-----------------	--	------	--	--	---	--	--	---	---	---	---

We hereby acknowledge the receipt of the Account Opening Application from :

Name of the Sole/First Holder	
Name of the Second Holder	
Name of the Third Holder	

For, ALBStock Broking Pvt. Ltd.

Seal and Signature

**ALB STOCK BROKING PVT. LTD.**

(DP ID 12064900)

SEBI REGN. NO. : IN-DP-CDSL-61-2015

Regd. Office : Shaan - 203,  
Nr. Sakar-II, B/h. Sakar IV,  
Opp. Town Hall, Ellisbridge,  
AHMEDABAD - 380006, GUJARAT

**SCHEDULE OF CHARGES**




SERVICES	SCHEME NAMES		
	REGULAR	GOLD	PLATINUM
ACCOUNT OPENING	NIL	NIL	NIL
STAMP PAPER CHARGES	NIL	NIL	NIL
POA CHARGES	NIL	NIL	NIL
MAINTENANCE CHARGES	200 (PER ANNUM) *	888**	2500 ***
<b>TRANSACTION CHARGES PER ISIN :</b>			
Within Company	15	12	12
Outside Company	20	20	20

**OTHER SERVICES & CHARGES APPLICABLE FOR ALL THE THREE SCHEMES:**





- |                               |  |
|-------------------------------|--|
| 1. BUY:                       | NIL  |
| 2. DIS BOOK CHARGES:          | NIL  |
| 3. OFF MARKET CHARGES:        | RS.25 PER ISIN                                     |
| 4. PLEDGE/UNPLEDGE/INVOCATION | RS.25 PER ISIN                                     |
| 5. DEMAT CHARGES:             | RS.5 PER CERTIFICATE + Rs. 50 PER COURIER Charges  |
| 6. DEMAT REJECTION CHARGES:   | RS.20 PER REJECTION + Rs. 50 PER COURIER Charges   |
| 7. REMAT CHARGES:             | RS.10 PER CERTIFICATE + Rs. 50 PER COURIER Charges |
| 8. FAILED TRANSACTIONS:       | RS.10 PER TRANSACTION                              |
| 9. EMERGENCY CHARGES:         | RS.25 PER ISIN                                     |
| 10. FREEZE/DE-FREEZE:         | RS.25 PER REQUEST                                  |

**CONDITIONS:**

- All charges mentioned are inclusive of CDSL charges.
- The service tax as applicable would be levied.
- The above charges are subject to change within 30 days prior notice, however in case of revision of charges by CDSL, a shorter notice may be given.
- All the charges once paid will not be refundable, however, this shall not be in contravention to SEBI circulars.
- All the instructions for the transfer must be received at least one day before the execution/pay in date. The same day execution or late instructions will be accepted on a "Best Effort Basis" at the sole risk and responsibility of the depository account holder.
- Rs. 100 will be charged on return of the cheque.
- The securities will be valued as per the rates of CDSL.
- All the other services will be charged separately whichever not mentioned above.
- The postage expenses will be charged for any modification like address, bank details, etc.
- For availing easiest facility of CDSL, the charges as levied by CDSL would be collected from the clients at actuals.
- Rs. 1000/- will be charged for corporate accounts  
\* AMC Shall be applicable after one year from the date of opening the demat a/c and only if trading a/c is with the ALB  
\*\* Rs. 888 /- is for Life time and Shall not be refundable  
\*\*\* Rs. 2500/- is for Life time and Rs. 2500/- shall be refunded on closure of account .
- Rs. 5 per page shall be charge for transaction statement on demand .
- Rs. 10/- shall be charged for Client Master on demand.
- Account Opening Charge as levied by KRA / SEBI shall be collected as actuals.

Scheme Name :		Client Code :
	<b>Name of the Holders</b>	<b>Signature(s)</b>
Sole/First Holder		 (6/21)
Second Holder		
Third Holder		

**FOR TRADING ACCOUNT****TRADING ACCOUNT RELATED DETAILS****FOR INDIVIDUALS AND NON-INDIVIDUALS**

<b>A. BANK ACCOUNT DETAILS : (Attach proof for all) (Sr. No. 1 will be default A/c.)</b>						
	Bank Name	Branch Address	A/c. No.	A/c. Type*	MICR	IFSC Code
1						
2						
* Saving/Current Others: in case of NRI/NRE/NRO						
<b>B. DEPOSITORY ACCOUNT DETAILS : (Attach proof for all) (Sr. No. 1 will be default A/c.)</b>						
	Depository Participant Name	Depository Name (NSDL / CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)	
1						
2						
NOTE : In case of more than 2 pl. attach separate sheet duly signed.						
<b>C. TRADING PREFERENCES</b>						
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.						
NSE	Cash Segment	<input type="checkbox"/>  (7/21)	BSE	Cash Segment	<input type="checkbox"/>  (9/21)	
	F&O Segment	<input type="checkbox"/>  (8/21)		F&O Segment	<input type="checkbox"/>  (10/21)	
If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.						
<b>D. PAST ACTIONS</b>						
<ul style="list-style-type: none"> <li>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</li> </ul>						
<b>E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS</b>						
<b>If client is dealing through the sub-broker, provide the following details</b>						
Sub-broker's Name						
SEBI Registration number						
Registered office address						
Phone		Fax		Website		
<b>Whether dealing with any other stock broker/sub-broker</b> (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						
<b>F. ADDITIONAL DETAILS</b>						
Whether you wish to receive <input type="checkbox"/> physical contract note or <input type="checkbox"/> 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	
<input type="checkbox"/> Not Applicable / <input type="checkbox"/> As per Annexure	
Any other information	

OTHER DETAILS	
<b>1. Gross Annual Income Details</b> (Please tick (✓): <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> > 25 Lacs <b>OR Net-worth in ₹.</b> _____ (should not be older than 1 year) <b>as on (date)</b> ___ / ___ / ___	
<b>2. Occupation</b> (Please tick (✓): any one and give brief details): <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Othes (Please specify) _____	
<b>3. Please tick, if applicable:</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) For detifinition of PEP, please refer guideline	
<b>4. Any other information:</b> _____	

G. INTRODUCER DETAILS (optional)	
Name of the Introducer	
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify
Address and Phone no. of the Introducer	
Signature of the Introducer	

H. NOMINATION DETAILS (for individuals only) :			
<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate			
Name of the Nominee		Relationship with the Nominee	
PAN of Nominee		Date of Birth of Nominee	
Address and Phone no. of the Nominee			
<b>If Nominee is a minor, details of guardian</b>			
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 & Phone		Address & Phone	



**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.

		(11/21)
Signature of Client / (all) authorized Signatory (ies)		

Place : \_\_\_\_\_

Date :   -   -

**FOR OFFICE USE ONLY:**

■ UCC Code allotted to the Client : \_\_\_\_\_

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

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

For, **ALB STOCK BROKING PVT. LTD.**

Signature of Authorised Signatory	



Date :   -   -

\_\_\_\_\_  
(Seal / Stamp)



## 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 documents.	Self declaration with relevant supporting

*\*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:**
- 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.
  - 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:**
- Form need to be initialized by all the authorized signatories.
  - 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.

## RIGHTS & OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

(As prescribed by SEBI and Stock Exchanges)

1. The client shall invest/trade in those securities/ contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/ notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).
7. The client shall invest/trade in those securities/ contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/ notices issued there under from time to time.
8. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
9. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
10. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
11. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
12. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).
13. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
14. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
15. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/ update the financial information to the stock broker on a periodic basis.
16. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/ authority except as required under any law/ regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

### MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

### TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such

### CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency

- schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
  16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
  17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.
  20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
  21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

#### DISPUTE RESOLUTION

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

#### TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock

#### BROKERAGE

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

#### LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

#### ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed

by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

#### ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the

attached file shall also be secured with the digital signature, encrypted and non-tamperable.

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

#### LAW AND JURISDICTION

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

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/ Exchanges.

## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET & DERIVATIVES SEGMENTS

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

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

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

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

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

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

### 1. BASIC RISKS:

#### 1.1 Risk of Higher Volatility:

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

#### 1.2 Risk of Lower Liquidity:

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

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

**1.3 Risk of Wider Spreads:**

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

**1.4 Risk-reducing orders:**

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

**1.4.1** A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

**1.4.2** A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed “away” from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security

/ derivatives contract reaches the pre - determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

**1.5 Risk of News Announcements:**

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

**1.6 Risk of Rumors:**

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

**1.7 System Risk:**

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

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

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

**1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or



system problems or slow or delayed response from system or trading halt, or any such other problem/ glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

**2.1 Effect of “Leverage” or “Gearing”:**

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

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

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

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

2.1.3 Under certain market conditions, an investor may find it difficult or impossible to

execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

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

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

**2.2 Currency specific risks:**

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

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

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

**2.3 Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting

asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

#### **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying

interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

#### **4. GENERAL**

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

## 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.bseindia.com](http://www.bseindia.com)/[www.nseindia.com](http://www.nseindia.com)/[www.useindia.com](http://www.useindia.com) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

### TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in

the name of sub- broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.

12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization 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 settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the

“transactions executed on the trading system” of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

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

#### DISPUTES/ COMPLAINTS

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

## MANDATORY DOCUMENT DEALING WITH POLICY AND PROCEDURES

### 1. REFUSAL TO TAKE ORDERS

The Client undertakes and agrees that member, may, as a risk containment measure, at any time, at its sole discretion, and without prior notice, prohibits, restricts or refuse the clients' ability to place order or trade in penny stocks or such other illiquid stocks/contracts, as specified by Member/ Exchange, through the Member. The Client waives any and all claims for loss or damage arising directly or indirectly from any such refusal.

### 2. EXPOSURE LIMITS

The client agrees and confirms to abide by the exposure limits, if any, set by Member or by the exchange or Clearing Corporation or SEBI from time to time.

The Member may from time to time, at its sole discretion, impose and vary limits on the orders that the client place (including but not limited to exposure limits, turnover limits, limits as to number, value and / or kind of securities / contracts in respect of which buy or sell orders can be placed etc.) The client is aware and agree that the stock broker/ trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's risk perception and other factors considered relevant by Member and Member may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that the Member shall not be responsible for such variation, reduction and imposition of limits.

### 3. BROKERAGE RATE

The Client confirms and agrees that the brokerage shall be paid in the manner intimated by the Member to the client from time to time, including as a percentage of the value of the trade or as a flat fees or otherwise, together with the service tax as may be applicable from time to time on the same.

The Client hereby agrees to the following brokerage slabs/rates which do not exceed the maximum limits prescribed by the SEBI and stock exchanges.

### 4. DELAYED PAYMENT CHARGES

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of the Stock Broker.

Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client toward settlement obligation or margin obligation either in cash segment and/or derivative segment, may attract delayed payment charges at the rate of 1.5 % per/north or part thereof or such other rate as may be determined by the stock broker.

In case client has not opted for running account maintenance, any amount which are overdue from a stock broker towards settlement pay out after meeting all pending settlement / margin obligations or dues, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the stock broker.

In case client has opted for running account maintenance, any amount which the client has demanded, in writing, from a member out of the available undisputed credit balance in client ledger maintained by the member or such amount which is required to be settled on the monthly / quarterly basis after meeting settlement and/or margin obligation and making provision for next 5 trading day settlement and / or margin obligation, calculated in the manner specified by the exchanges may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the stock broker.

### 5. LIQUIDATION/CLOSE-OUT OF POSITIONS:

Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the Member shall be entitled to liquidate / close out all or any of the Client's positions for nonpayment of margins or settlement obligation after giving prior notice. Any and all losses and financial charges on account of such liquidation / closing-out shall be charged to and borne by the Client.

### 6. INTERNAL SHORTAGE & CLOSE-OUT

#### (i) For Purchase of Shares :

In case of purchase of securities by the Client, at times Member may be unable to deliver the securities to the said purchaser on the pay out day due to non receipt of the said securities from another Client of Member who has sold the securities in such

Internal netting of transaction. In such cases, member may buy the shares from the market on T + 1 day or on settlement day and deliver the same to the client or he may give close out at such rates as determined under sub clause (ii) of this clause.

**(ii) For Short Sale of Shares :**

The Client hereby agrees that if he/she/it has short delivered any securities against his/her/its pay-in obligation which resulted into internal shortage (i.e. buy position of another client of the member and could not be auctioned in the market) close-out shall be debited to his account at the purchase price from the market or 5% to 20% above the closing price on auction day, as the case may be.

**(iii) Gain / Loss arising out of (i) & (ii) :**

Any gain arising out of above transaction shall be passed on to the buyer and any loss arising out of above transaction shall be borne by the short seller.

**7. RESTRICTIONS/PROHIBITION TO TAKE FURTHER POSITION OR CLOSING EXISTING POSITION**

The Member may, in its sole discretion, not allow taking further position to the client or may close the existing position of a client due to any restrictions in relation to volume of trading / outstanding business or margins stipulated by the exchange, clearing corporation/ clearing house and/or the Member and / or any other extraordinary event warranting such restrictions. The Client waives any and all claims for loss or damage arising directly or indirectly from any such restrictions.

**8. SUSPENSION / CLOSURE AT THE CLIENT'S REQUEST**

The Client may suspend or close his/her/its trading account temporarily by giving written request to the member. Such temporary closing or suspending of trading account will not affect the rights and obligation incurred prior to such suspension or closure. Any request for temporary suspension or closure shall not be processed by the member unless all the dues are paid by the client.

**9. DEREGISTERING THE CLIENT**

The Member may, at its sole discretion, deregister clients' account to protect his interest which might include (but not limited to)

- i. Member is compelled to by law;
- ii. Client has not used account for a significant period of time;
- iii. Member has reasons to believe that account is being used for fraudulent purposes.
- iv. Any other reason which member thinks reasonable for deregistering the account. The Client waives any and all claims for loss or damages arising directly or indirectly from such deregistering. The deregistering will not affect any liability of the Client resulting directly or indirectly from any transactions made at any time before such deregistering.

**10. POLICY FOR IN ACTIVE CLIENTS**

In case client has not used his account for a period exceeding 6 months but not later than 2 years, then his account shall be free zed for further trades and the said account shall be re-activated only after client gives account reactivation request along with proofs, if any, required. Further if client has not used his account for more than 2 years, his account shall be deregistered and his account shall be re-activated only after proper recording of reason for such non use and after taking all the required proof.

Further, if any changes are made in the above policy and procedures, the same are updated on our website [www.albstock.co.in](http://www.albstock.co.in). Hence, Clients are requested to visit the same for further changes.

	(12/21)
<b>Client Signature</b>	

**FOR TRADING ACCOUNT MANDATORY**
**BROKERAGE SLABS FOR CASH AND DERIVATIVE SEGMENT**
**CASH SEGMENT**

Brokerage Slab	Slab%		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
<b>Delivery Based</b>		Not Applicable		Not Applicable
<b>Daily Square Up</b>				
Service Tax	<input type="checkbox"/> Y <input type="checkbox"/> N			
Stamp and other charges	<input type="checkbox"/> Y <input type="checkbox"/> N			
Transaction & other charges	<input type="checkbox"/> Y <input type="checkbox"/> N			

**DERIVATIVE SEGMENT : SLAB FOR FUTURE**

Brokerage Slab	Slab %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
<b>Daily Square Up</b>				
<b>Settlement Square Up</b>	Same as above		Same as above	
<b>Expiry</b>				
Service Tax	<input type="checkbox"/> Y <input type="checkbox"/> N			
Stamp and other charges	<input type="checkbox"/> Y <input type="checkbox"/> N			
Transaction & other charges	<input type="checkbox"/> Y <input type="checkbox"/> N			

**DERIVATIVE SEGMENT : SLAB FOR OPTIONS**

Brokerage Slab	Slab %		Minimum	
	First Leg	Second Leg	First Leg	Second Leg
<b>Daily Square Up</b>				
<b>Settlement Square Up</b>	Same as above		Same as above	
<b>Expiry</b>				
Service Tax	<input type="checkbox"/> Y <input type="checkbox"/> N			
Stamp and other charges	<input type="checkbox"/> Y <input type="checkbox"/> N			
Transaction & other charges	<input type="checkbox"/> Y <input type="checkbox"/> N			

**B. STATUTORY LEVIES**

Following statutory levies shall be levied as applicable from time to time.

- |                                  |                     |
|----------------------------------|---------------------|
| i. Security Transaction Tax      | iv. Stamp Duty      |
| ii. SEBI Turnover Fees           | v. Service Tax      |
| iii. Exchange Transaction Charge | vi. Clearing Charge |

**C. PENALTY**

Penalties levied by exchange, SEBI and other authorities due to act of client are recovered from the clients. Such penalty may include, Short Margin Penalty, Code Modification Penalty, etc.

**D. OTHER CHARGES**

- Minimum Brokerage ₹. 20/- per contract, subject to maximum limit prescribed by SEBI/Exchange.
- Demat Charges ₹. 10/-per ISIN on purchase.
- Client Cheque dishonor Charges ₹. 100/- per instance or actual, which ever is higher.

- E. Apart from above, delayed payment charges as per policy and procedures under mandatory document forming part of KYC documents would also apply. ALB Stock Broking Pvt. Ltd. reserves the right to revise the Tariff structure, by publishing / displaying the same on its website [www.albstock.co.in](http://www.albstock.co.in)

	(13/21)
<b>Client Signature</b>	

## NON MANDATORY DOCUMENT ADDITIONAL TERMS AND CONDITIONS GOVERNING THE SERVICE

[Please strike out the Non-Mandatory clauses that are not agreed to between stock broker/trading Member and the Client.]

I, voluntarily and unconditionally hereby state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of Member i.e. ALB Stock Broking Pvt. Ltd. and agree to be bound by the same.

### 1. GENERAL TERMS AND CONDITIONS GOVERNING THE SERVICE

#### (A) Compliance with Laws

- (i) All transactions that are carried out by and on behalf of the CLIENT shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye Laws of the Exchange that may be in force from time to time, and their Clearing Houses, if any, on which such transactions are executed and/or cleared by the MEMBER that may in force from time to time, the Reserve Bank Of India and the NSDL and CDSL, the Securities Contracts Regulation Act and the rules made thereunder, and any other applicable statutory provisions and/rules or regulations. The MEMBER is under no obligation to inform the CLIENT of changes in these rules, regulations or guidelines.
- (ii) In case where the CLIENT is a Non resident Indian, he agrees to abide by Foreign Exchange Management Act and rules and regulations issued thereunder from time to time.
- (iii) The CLIENT hereby authorizes the MEMBER to take all such steps on the CLIENT's behalf as may be required or advisable in the MEMBER's opinion for compliance with the Exchange provisions or any other law or provisions or the complete or settle any transactions entered into through or with the MEMBER or executed by the MEMBER on behalf of the CLIENT. However, nothing contained herein shall oblige the MEMBER to take such steps.

(iv) In addition to the specific rights set out hereunder, the CLIENT confirms and agrees that the MEMBER and the CLIENT shall be entitled to exercise any other rights which the MEMBER or the CLIENT may have under the Rules, Bye Laws and Regulations of the Exchange and circulars issued there under or Rules and Regulations of SEBI.

(v) Unless otherwise agreed in writing by the MEMBER, Client agrees and confirms that the Member and the Client shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons having a common objective or purpose of substantial acquisition of shares or voting rights or gaining control over any company, whose shares are purchased by the Member for and on behalf of and on account of the Client.

(vi) The Client understands, agrees and confirms to provide copies of Annual Accounts, Returns or any other document that may be asked for by the Member to comply with Prevention of Money Laundering Act, 2002. as amended. If the Client fails to provide the documents, as may be required by the Member, the Member reserves the right to terminate the document forthwith.

#### (B) Participation

The CLIENT agrees and confirms the eligibility to enter into terms and conditions, confirms and satisfies with regard to the eligibility in this respect.

#### (C) Dematerialized Securities

All orders made by the CLIENT shall only be in securities compulsory traded in the dematerialized form. All deliveries of securities made by or to the CLIENT shall only be in the dematerialized form.



**(D) Acting as a Sub-Broker**

The Client agrees that he will not act as a Sub-Broker without prior written permission of the member, the stock exchange and without obtaining certificate of Registration from Securities and Exchange Board of India (SEBI).

subsidiary cost including penalty levied by the exchange.

**2. RISK DISCLOSURE**

The Client confirms, declares and agrees that:

- (a) Client shall deposit with the MEMBER such monies, securities or other property, which may be required to open and / or maintain his account with the MEMBER.
- (b) All monies, securities or other property which the MEMBER may hold on Client's account shall be held subject to a general lien for the discharge of CLIENT's obligations to the MEMBER.
- (c) Client shall not, acting alone or in concert with others, directly or indirectly hold and/or control excess number of permitted Derivatives contracts as fixed from time to time by the Exchanges.
- (d) The CLIENT shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly the CLIENT will have exercised in excess of the number of permitted futures contracts as may be fixed from time to time by the Exchange.

**3. SHORTAGES:**

In case of purchase of securities by the Client, at times the member may be unable to deliver the securities to the said purchaser on the pay out day due to non receipt of the securities from the stock exchange(s). In such cases, the securities shall be delivered to the purchaser on the deliveries received from the exchange.

**4. AUCTION OR CLOSE OUT IN CASE OF MARKET SHORTAGE :**

If the securities are not received on or before settlement date or the securities received are not in deliverable state or due to any reason whatsoever, client is not able to deliver securities and position is deliverable in market, the securities will be auctioned or closed out as per the rules of the concerned exchange. Consequently, client will be responsible for any resulting losses and all

**5. MARGINS:**

The CLIENT shall make the prescribed initial margin in the form of cash and/or in the form of securities (the "Margin") with the MEMBER simultaneously with the opening of the account and prior to commencement of trading. The CLIENT shall be permitted to trade upto a pre-determined number of times of the MARGIN (the "Multiple") and the quantum of the Multiple on the margin shall be decided at sole option or discretion of the MEMBER who shall have the irrevocable right to set off a part or whole of the Margin. i.e. by way of sale or transfer of the securities/fund which form part of the margin, against any dues of the CLIENT in the event of the failure of the CLIENT to meet any of their respective obligations under these Terms.

Any references in these terms to sale or transfer of securities by the MEMBER shall be deemed to include sale of securities which form part of the Margin maintained by the CLIENT with the MEMBER. In exercise of the MEMBER's right to sell securities under this terms and conditions, the CLIENT agrees that the choice of specific securities to be sold shall be solely at the MEMBER's discretion.

The Client confirms that the MEMBER is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by the Exchange, the Clearing House or SEBI) and the CLIENT shall be obliged to pay such margins.

**A. Margin on Purchase:**

CLIENT confirms and agrees to deposit interest-free margin of 30 % of such other percentage as may be intimated by the MEMBER from time to time on the price of the securities proposed to be purchased.

**B. Margin on Sales:**

The CLIENT confirms and agrees to deposit interest free margin of 30 % or such other percentage as may be intimated by the MEMBER from time to time on the price of securities proposed to be sold.

**C. Margins in Derivative Contracts:**

In the derivative segment, the CLIENT agrees to pay an initial margin upfront on or before creating a position. Such margin shall be decided upon by the MEMBER or the Exchange from time to time. Furthermore, the CLIENT is liable to pay (or receive) daily margins depending on whether the price of the Derivatives contract moves for or against the position undertaken. The CLIENT may also be liable to pay withholding margins, special margins or such other margins as are considered necessary by the MEMBER or the Exchange from time to time.

**D. Mark to Market Margin in Derivative Contract**

For derivative contracts, the CLIENT agrees that the MEMBER shall raise bills on daily basis. The CLIENT also agrees to pay an upfront margin at the beginning of each day that will be sufficient to cover the daily margins for the entire duration of the day. If at any time during day Mark to Market (MTM) or the cumulative Mark to Market (MTM) margin falls short of the margin available in the CLIENT's account, the CLIENT agrees to heed the MEMBER's additional margin calls. As the upfront daily margin calls are purely for operational convenience, the CLIENT will ensure that margin are adequate at all times and will immediately make good any shortfall that the MEMBER may communicate.

**E. Payment through Cheque/ Demand Draft:**

Client understand that in case where the payment by the CLIENT towards the margin is made through a Cheque issued in favour of the MEMBER, trade(s) will be executed by the MEMBER only upon the realization of the funds of the said Cheque or at the discretion of the MEMBER. The CLIENT agrees to mention his CLIENT code along with his name on the reverse of any instrument through which he makes the payment to the MEMBER. Client further understand and agrees that the Client shall prepare Demand Draft/Pay Order out of his

own funds and agrees to provide source of the funds as per SEBI/Exchange Guideline.

**F. Margin in the form of Securities:**

The CLIENT may place margin with MEMBER in form of securities as approved by the MEMBER. Such securities may at the discretion of the MEMBER be marked as lien in favour of the MEMBER from the depository account of the CLIENT or such securities may be placed in a separate depository account of the MEMBER. Client confirms that the MEMBER may, at its own discretion, treat the securities lying in the depository account of the CLIENT, as margin, where the CLIENT has executed a Power of Attorney in favour of the MEMBER, for operating the said depository account.

The CLIENT may place/deposit only those securities, which are acceptable to the MEMBER. If at any time, a particular security ceases to be on the list of approved securities. The CLIENT shall provide such other margins as may be required in place of such security.

The CLIENT understands and agrees that it is at the sole discretion of the member to determine the market value of securities placed as Margin after applying a haircut that the MEMBER deems appropriate. The Client's positions are valued at the latest market price available (marked to market) on a continuous basis by the MEMBER. The CLIENT undertakes to monitor the adequacy of the collateral and the market value of such securities on a continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the CLIENT agrees to replenish any shortfall in the value of the Margins immediately, whether or not the MEMBER intimates such shortfall.

**G. Type of Margin:**

The CLIENT confirms that the MEMBER has a sole discretion to prescribe the payment of Margin in the form of cash instead of securities the Client accepts to comply with the MEMBER's right of payment of Margin in the form of cash immediately failing which the MEMBER may sell, dispose,

transfer or deal any other manner the securities already placed with it as Margin or square off all or some of the positions of the CLIENT as it deems fit in its discretion and any resultant or associated losses that may occur due to such square off/sale shall be borne by the CLIENT, and the MEMBER is hereby fully indemnified and held harmless by the CLIENT in this behalf.

**H. Margin with Exchanges/Clearing Corporations:**

The CLIENT agrees that any securities placed by him/her it as Margin may in turn be placed as margin by the MEMBER with the Exchanges / Clearing Corporations. The CLIENT authorizes the MEMBER to do all such acts, deeds and things as may be necessary and expedient for placing such securities with the Exchanges / Clearing Corporations as margin.

**I. Shortfall in margins and other provisions**

(i) The Client confirms and agrees that if payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the CLIENT's account, all or some of the positions of the CLIENT as well as the securities of the CLIENT in the possession or control of the MEMBER may be liquidated by the MEMBER at its sole discretion, after giving prior notice to the CLIENT. The resultant or associated losses that may occur due to such squaring off or sale of such securities shall be borne by the CLIENT, and the MEMBER is hereby fully indemnified and held harmless by the CLIENT in this behalf, Such Liquidation or close out of positions shall apply to any segment in which the CLIENT does business with the MEMBER.

(ii) The CLIENT Confirms and agrees that CLIENT is responsible for all orders including any orders that may be executed without the required Margin in the Client's account. If the Client's order is executed despite a

shortfall in the available Margin, the CLIENT shall whether or not the MEMBER intimates such shortfall in Margin to the CLIENT instantaneously make up the shortfall either through delivery of shares from his own demat account in the event of a sale, or credit the required funds in the Bank account via wire transfer or personal Cheque, Banker's Cheque or money order or account transfer or any other mode as may be required by the MEMBER.

(iii) The CLIENT confirms that any reference in these terms to sale or transfer of securities by the MEMBER shall be deemed to include sale of the securities, which form part of the Margin and/or such securities of the CLIENT which are in possession or control of the MEMBER, maintained by the CLIENT with the MEMBER. In exercise of the MEMBER's right to sell securities under this terms and conditions, the CLIENT agrees that the choice of specific securities to be sold shall be solely at the MEMBER's discretion.

**J. Amendment in Margins:**

Any amendment in the percentage of margins as required to be maintained under this terms and conditions, shall be intimated by the MEMBER to the CLIENT over the telephone or in writing or by posting the details on its website. The CLIENT is required to make replenish the shortfall in such margins, if any, on demand of the same by the MEMBER or otherwise immediately.

In the event of any change in margin percentage by the Exchange, the MEMBER may change the applicable margin percent immediately and shortfall in margin on CLIENT's open position as a result of the same shall be dealt with in the same manner as specified in shortfall in margin specified % herein above.

**K. Interest Free Margin**

All Margin provided by the CLIENT shall be interest free and the MEMBER shall not be liable to pay any interest on the same irrespective whether the same forms part of any investment by the MEMBER in fixed deposits with the Bank or in any other instrument as may be approved by the Exchange or SEBI from time to time.

**6. EXECUTION OF ORDERS**

- (a) The CLIENT confirms and agrees that placing an order with the Member including a market order, does not guarantee execution of the order. The MEMBER has the absolute right to reject any order that may be made by the CLIENT for any reason whatsoever including for the breach of the requirement of maintaining the prescribed Margin in the CLIENT account or the Bank account.
- (b) The CLIENT agrees that if, under any circumstances or for any reason the market closes before the acceptance of the order by the Exchange, the order may be rejected. The Client agrees further, that the MEMBER may reject orders if the same are rejected by the Exchange for any reason. In case of rejection of an order due to rejection by the Exchange, the CLIENT agrees that the order shall remain declined and shall not be reprocessed, in any event.
- (c) The MEMBER may, at its sole discretion, reject any order placed on the website, through phone, or in any other manner for any reason including, but not limited to, the non availability of funds in the trading account of the CLIENT, non availability of the securities in the Demat account of the CLIENT with the designated Depository Participant insufficiency of margin amount if the CLIENT opts for Intra-Day margin trading, suspension of scrip for trading activities by or on the Exchange, or applicability of circuit breaker to a scrip in which orders are placed or insufficient bids or offers in any particular security. The Client further understands and agrees that MEMBER shall have right to reject the orders placed by the Client and/ or put circuit breakers to discourage trades getting

executed at unrealistic prices from the current market price of the security or prohibit the Client from trading in illiquid securities which creates artificial liquidity or manipulates prices or to discourage Client from cross/ synchronized trading and MEMBER shall not liable for any loss arising out of non acceptance or rejection of the Client orders by the MEMBER for any such reason if the Client fails to give sufficient reason for placing such orders.

- (d) The Client is aware that the Electronic Trading System either at the Exchange or in the MEMBER's office is vulnerable to disruptions, breakdown or failures. In the event of non-execution of trade orders or trade cancellation due to the happening of such events or vulnerabilities due to failure/ disruption/breakdown of system of link, the CLIENT may not be able to execute the desired transactions. In such an event the MEMBER does not accept responsibility for the losses, costs, expenses or damages that may be incurred by the client due to such eventualities.

**7. PRICE OF SECURITIES:**

The CLIENT understands that with respect to any order, the CLIENT will obtain the price at which the order was actually executed in the market, which may be different from the price at which the security was trading when the CLIENT' order was entered into the MEMBER's system.

**8. PAY-IN OF SECURITIES/FUNDS:**

- (a) The Client understands and undertakes that he will give the funds and securities from his own bank and demat account respectively to honour pay-in obligations.
- (b) The Client understands that if the client trades in shares which are in Trade-to Trade Category of the respective exchanges, then the client shall give the delivery of shares for sell separately.
- (c) At all times, the client agrees to make the payment of funds only in the name and style of "ALB Stock Broking Pvt. Ltd." vide account payee cheque from his/her own accounts,

with details of the client code and the name of the client mentioned on the reverse of the instrument.

- (d) At all times, the client agrees to transfer the securities only to the designated depository account of the member.
- (e) The client agrees that the Member shall not be held responsible for any loss or damages in respect of any funds/ securities which are deposited/ transferred to any account other than that of the Member's designated account under this terms and conditions.
- (f) In the event of client's account receiving an incorrect credit/debit by reason of a mistake, the member shall be entitled to reverse such incorrect credit/debit at any time whatsoever. The Client shall be liable and continue to remain liable to the member for any incorrect gain obtained as a result of the same and the member reserves the right to take such remedial action/measures against the client for recovery of the erroneous credit.

## 9. CANCELLATION OR MODIFICATION OF ORDERS

The Client confirms and agrees that:

- (a) The execution of order cancellations or modifications is not guaranteed. Cancellation of orders is possible only if the original order remain pending at the Exchanges. Market orders are subject to immediate execution. The CLIENT shall not presume that an order has been executed or cancelled or modified and the Client is required to verify the status of his/ its orders with the trade confirmations by the MEMBER.
- (b) Unless otherwise specified by the MEMBER, any order not executed at the end of the day shall stand cancelled.
- (c) In the event of trade cancellation due to such events or vulnerabilities MEMBER shall be entitled to cancel relative contract(s) with the CLIENT. At times, due to unforeseen circumstances the MEMBER may not be able to execute the desired transactions (either the client's own transactions or transactions for enforcing margins as provided in this terms and conditions) on a timely basis. The MEMBER

does not accept responsibility for any losses that the Client may incur on such eventualities beyond the control of the MEMBER.

- (d) The MEMBER shall have right to reject any order based on its risk perceptions.

## 10. CORPORATE BENEFITS AND SETTLEMENT CYCLES:

The CLIENT accepts responsibility of knowing the status of all corporate benefits like rights and bonus issues, dividends, and stock splits of shares that he/it intends to trade or which are held in his/its account. The CLIENT accepts responsibility for knowing the correct ISIN numbers of the shares in his/her/its account and the eligibility of the shares to meet share pay in obligations to the Exchange/Clearing Corporation whether received by way of purchase, rights, bonuses, stock split, off market transfers or otherwise.

## 11. OTHER CHARGES

- (a) The CLIENT agrees to pay any applicable taxes including the securities transaction tax, duties, and levies as may be levied on the transaction from time to time.
- (b) The MEMBER shall debit the charges of the depository participant for the trades and the bank charges for the realization of cheques etc. to the CLIENT's account.
- (c) User Fees/Other charges : The Client agrees that the MEMBER or any of its affiliates may charge user fees for the use of any other services including but not restricted to internet trading ancillary service, use of the website platform and the call and trade services at rates mentioned on the website or otherwise intimated and as modified from time to time.

The Client agrees and confirms that the MEMBER shall have right to debit the charges as per tariff sheet.

## 12. INVESTMENT OR OTHER ADVICE:

The Client acknowledges that the member shall neither be under any obligation to provide the Client with any legal, accounting, investment advice or advice regarding the suitability or profitability of investment of any kind, nor do the member give any advice or give any opinion with

respect to the nature, potential value or suitability of any particular transaction or investment strategy. The client acknowledges that the employees of the member or the member himself are not authorised to give out any advice and the clients shall at all times be responsible and liable for his own actions / inaction. The client may be able to access investment research reports through the internet from the web-site, including computerized online service or physical copy. The availability of such information does not constitute a recommendation to buy or sell any of the investment products. Any investment decision will be based solely on the clients own evaluation of financial circumstances and investment objective.

Any real-time quotes provided are only for the clients own use and the client shall not furnish such data to any other person or entity.

#### **13. SUO-MOTO TRADE CANCELLATION:**

The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.

#### **14. ORDER/TRADE CONFIRMATION:**

The MEMBER shall also send the Order/Trade confirmation slip through E-mail to the CLIENT at his written request, within 24 hours from the time of execution of order/trade on the system, as the case may be. The CLIENT agrees that the information sent by MEMBER by E-mail is deemed to be a valid delivery of such information by the MEMBER.

#### **15. JURISDICTION:**

The Member and the Client declare and agree that the transaction executed on the Exchange are subject to the Rules, Byelaws and Regulations and circulars issued there under of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Bye laws and regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws, and Regulations of the Exchange and the circulars issued there under.

The MEMBER hereby agrees that it shall ensure that settlement of any arbitration proceedings

arising out of the transactions entered into between the Member and the Client and that it shall be liable to implement the arbitration awards made in such proceedings.

This service does not constitute an offer to sell or a solicitation of an offer to buy any shares, securities or other instruments to any person in any jurisdiction where it is unlawful to make such an offer or solicitation. This service is not intended to be any form of an investment advertisement, investment advice or investment information and has not been registered under any securities law of any foreign jurisdiction and is only for the information of any person in any jurisdiction where it may be lawful to offer such a service. Further, no information on E-mail or website: [www.albstock.co.in](http://www.albstock.co.in) is to be construed as a representation with respect to shares, securities or other investments regarding the legality of an investment therein under the respective applicable investment or similar laws or regulations of any person or entity accessing the Website/E-mail.

#### **16. PROVISIONS IN CASE OF DEFAULT:**

In the event of a default of a Trading/Clearing Member on his own account, the Client's money will not be utilised to meet the Member's liabilities. In such cases, the Client's positions shall be either transferred to another solvent member or closed-out as per the provisions of the Rules, Bye-laws and Regulations of the Derivatives Segment/ Currency Derivatives Segment or the Clearing House. The loss, if any, caused to the Client because of such action would be recoverable by the Client from the Member. In the event of failure of the Client to fulfill his obligations to the Member, the Derivatives Segment or the Clearing House, the Client's position may be closed out and the money, if any, of the Client available with the Member or with any other member, the Derivatives Segment or the Clearing House may be adjusted against the Client's liabilities/obligations.

#### **17. SHARING OF INFORMATION:**

The Client agrees to immediately furnish information to the Member in writing if any winding up petition or insolvency petition or order has been filed or passed against him or any garnishee order has been served upon him or in

respect of his obligations by a bank, or if any litigation has been filed against him or if any order, decree or award is passed against him. Similarly, the Member agrees to inform Client immediately about the contract specifications and associated obligations and daily settlement position. The Member will also inform the Client if the price of the futures contract or index has moved against the Client and the extent of the Client's daily obligations.

#### 18. LEGAL DISABILITY OR DEATH:

In the event of death or insolvency of the Client or his otherwise becoming incapable of entering into Cash/Derivatives contracts, the Member may close out the transactions of the Client and the Client or the Client's representatives/heirs shall be liable for any outstanding positions in the contracts entered into by the Client. In case of any amount accruing to the account of the Client, the Client or the Client's representatives/heirs shall also be entitled to receive the surplus.

#### 19. ARBITRATION:

The CLIENT agrees and confirms that except for the claims/disputes which are subject to the Rules and Regulations of the respective Exchanges on which the trades have been executed. Any and all claims and disputes arising out of or in connection with this terms and conditions or its performance shall be settled by arbitration by a single arbitrator. The arbitration shall be governed by the provisions of the Arbitration and Conciliation Act, 1996.

The Client and Member agree to refer any claims and / or disputes which are subject to Rules and Regulation of the respective exchange on which the trades have been executed to arbitration as per the Rules, Bye-laws and Regulations of the Cash /Derivatives Segment of the Exchange as amended from time to time.

#### 20. DELAYED REPORTING OF TRANSACTION

The CLIENT confirms and agrees that:

- (a) If trades or transactions are reported late to the MEMBER on account of any problems at the Exchange or for whatsoever reason, the CLIENT in turn will be subject to late reporting of transactions.
- (b) In addition, any errors reported to the CLIENT for any reason whatsoever will stand subsequently corrected to reflect the transaction that was effected in the market.

#### 21. CHANGE OF ADDRESS :

Unless the CLIENT informs the MEMBER of the change of the address for communication in writing, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been received by the CLIENT irrespective of whether they are actually received or not.

#### 22. MEMBER'S LIABILITY :

Under no circumstances shall the MEMBER or anyone involved in creating, producing, delivering or managing the Member's services be liable for any direct, indirect, incidental, special or consequential damages that result from the use of or inability to use the service, delay in transmission of any communication, in each case for any reason whatsoever (including on account of breakdown in systems) or out of any breach of any warranty or due to any fraud committed by any person whether in the employment of the MEMBER or otherwise.

#### 23. RESERVE BANK OF INDIA GUIDELINES:

The Client is aware that as per the RBI guidelines. The Foreign Institutional Investors (FIIs), Non-Resident Indians (NRIs) and Persons of Indian Origin (PIOs) are allowed to invest in the secondary capital market in India through the portfolio investment scheme (PIS). Under this scheme, FIIs/NRIs can acquire shares/debentures of Indian companies through the stock exchanges in India. These investments are governed and monitored on daily basis by the Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, the RBI advises all designated bank branches to stop purchases on behalf of their FIIs/NRIs/ PIOs clients. The Reserve Bank also informs the general public about the 'caution' and the 'stop purchase' in these companies through a press release.

The Client being an FII/NRI/PIO hereby acknowledges that he is aware of the RBI guidelines in relation to his investments in the secondary market in India. The Client hereby agrees to keep himself abreast of the ceiling limits on investments as published by RBI from time to time. And also agrees that he shall immediately reverse his transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case the Client does not / is unable to reverse such transaction immediately, the client authorizes the Member to do so under intimation to the client.

## 24. MISCELLANEOUS PROVISIONS GOVERNING THE TERMS:

### (a) Limitation of liability

The MEMBER does not guarantee, and shall not be deemed to have guaranteed, the timeliness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to the Client or the execution of the orders placed by the CLIENT. The MEMBER shall not be liable for any inaccuracy, errors or delay in, or omissions of (1) any such data, information or messages, or (2) the transmission or delivery of any such data, information or messages, due either to any act or omission by the MEMBER or to any "Force Majeure" event (e.g. flood, extraordinary weather condition, earthquake or other any act of God, fire, war, insurrection, riot, labour dispute, accident, action of government, communication, power failure, shut down of the systems for any reason (including on account of computer viruses, equipment or software malfunction) any fraud committed by any person whether in the employment of the MEMBER or otherwise or any cause within beyond the reasonable control of the MEMBER.3) cancellation or non execution of the order placed by the CLIENT with the MEMBER) The MEMBER shall not be liable for any inaccuracy, error, false statement, misrepresentation or fraud committed any sales or other associates/third parties engaged by the MEMBER to promote the services offered by it. The CLIENT agrees that he/she/it places no reliance on such persons and will exercise due care and diligence in relying on any statements made any persons.

### (b) Representative and warranties of Clients

- (i) The CLIENT hereby represents and warrants that the terms and conditions of this terms and conditions have been clearly understood and that the information furnished to the MEMBER is accurate and truthful.
- (ii) The CLIENT confirms that he/she is of legal age and he/she/it has obtained the necessary approvals from the relevant regulatory/legal

and compliance authorities to avail the services provided pursuant to the terms of this terms and conditions.

### (c) Sharing of Information :

The Client agrees and confirms that the MEMBER may appoint agents for carrying out the acts mentioned in or in relation to this terms and conditions. The CLIENT consents to sharing of his/ its accounts related information to the authorized agents appointed by the MEMBER.

### (d) Tape Recording of conversation:

The CLIENT is aware that the MEMBER tape-records the conversations between the client's representative and the MEMBER, either personally or over the telephone, and hereby specifically permits the MEMBER to do so. Such recording may be relied upon by the MEMBER as and when required to resolve disputes in connection with the trading transaction.

### (e) Conclusiveness of Records

The MEMBER's own records of the trades/ transactions maintained through computer systems or otherwise shall be accepted as conclusive and binding on the CLIENT for all purposes.

- (f) The CLIENT understands and confirms that the CLIENT has the option to terminate the applicability of the voluntary terms and conditions including the terms and conditions applicable for special facility that may be provided by the Member by giving advance notice to the MEMBER in writing of not less than 15 days. Provided however that the terms and conditions shall become applicable for all the close out trades that may be executed by the CLIENT or the MEMBER subsequent to such termination.

### (g) Indemnity

- (i) The CLIENT agrees and confirms that though orders are generally routed to the marketplace immediately after the time the order is placed by the CLIENT on the system there may be a delay in the execution of the order due to any link/ system failure at the CLIENT/MEMBER/ Exchange's end. The CLIENT hereby specifically indemnifies and holds the MEMBER harmless from any and all claims, and agrees that the MEMBER shall not be liable for any loss, actual or perceived, caused directly or



indirectly by government restriction, exchange or market regulation, suspension of trading, war, strike, equipment failure, communication line failure, system failure, security failure on the internet, shut down of systems for any reason (including on account of computer viruses), unauthorized access, theft, any fraud committed by any person whether in the employment of the MEMBER or otherwise or any problem, technological or otherwise, that might prevent the CLIENT from contacting.

- (ii) The CLIENT further confirms and agrees that client will not be compensated by the MEMBER for any 'lost opportunity' viz. notional profits on buy/sell orders which could not be executed due to any reason whatsoever, including but not limited due to time lag in the execution of the order or the speed at which the system of the MEMBER or of the Exchanges is operating, any shutting down by the MEMBER of his/her/its system for any reason of the MEMBER disabling the Client from trading on its system for any reason whatsoever.

**(h) Assignment**

The CLIENT confirms and agrees that CLIENT shall not assign or transfer all or any of its rights or obligations.

- (i) Severability  
The CLIENT confirms and agrees that in case anyone or more of the terms and conditions confirmed by the CLIENT becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality, and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

**(i) Internet Based Trading Services:**

- (i) The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the

CLIENT and/or his authorised representative are not revealed to any third party.

- (ii) The CLIENT agrees that the STOCK BROKER/TRADING MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ STOCK BROKERS/TRADING MEMBERS/ EXCHANGE end.

**25. ADDRESS FOR COMPLAINT/INVESTOR GRIEVANCES AND COMMUNICATION:**

The CLIENT understands and confirms to send all the complaints and queries in case of any grievances or complaint arising out of and in the course of trading in securities client will send the complaint on the E-mail: [grievances@albstock.co.in](mailto:grievances@albstock.co.in). Alternatively the Client shall send the written complaint marked to Investor Grievance Cell. ALB Stock Broking Pvt. Ltd. Shaan 203, Nr. Sakar II, Opp. Town Hall, Ellisbridge, Ahmedabad - 380006. The Client further understands and agrees that MEMBER may take 7 working days time to reply on such Complainant / Query.

**26. TERMINATION:**

The CLIENT understands and confirms that the CLIENT has the option to terminate the applicability of the voluntary terms and conditions including the terms and conditions applicable for special facility that may be provided by the Member by giving notice to the MEMBER in writing. Provided however that the terms and conditions shall become applicable for all the close out trades that may be executed by the CLIENT or the MEMBER subsequent to such termination. Further such termination shall not affect the rights and obligations of a party hereunder in respect of Derivatives contracts and transactions entered into prior to such termination.

**Signed for and on behalf of the Client**

Name : \_\_\_\_\_

	(14/21)
<b>Client Signature</b>	

Address : \_\_\_\_\_

Place : \_\_\_\_\_

Date : 

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FOR TRADING ACCOUNT VOLUNTARY

### RUNNING ACCOUNT AUTHORIZATION

I/We hereby authorize(s) the MEMBER to maintain running account, instead of settlement to settlement clearance of funds / securities due to me/us.

The payout of funds / securities may be retained by the MEMBER and no interest shall be payable, by the MEMBER on such securities / funds so retained.

I/We also authorize(s) the MEMBER to consider the funds/securities so retained by the MEMBER towards collateral margin for allowing enhanced gross exposure to me/us.

I/We agree(s) that the MEMBER shall not be liable for any claim for loss of profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities / funds under this document or otherwise.

On written request of the CLIENT the MEMBER may release funds/securities to him, if sufficient margins in respect of his trading, across the Stock Exchange(s) and across the segments of the stock exchange(s) are available with the MEMBER, within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation..

Client Name : \_\_\_\_\_

Client Code : \_\_\_\_\_

(To be signed by client himself and not by any authorised person on his behalf or holder of the Power of Attorney)

Notwithstanding anything contained in this authorization, the actual settlement of funds and securities, except for funds received from the clients towards collaterals/ margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR), shall be done by the member, at least once in a calendar  Quarter or  Month (**Tick applicable**). For the clients having outstanding obligations on the settlement date, the Member may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations as per SEBI/Exchange guideline. There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

This authorization may be revoked at any time by me/us by giving written notice to the member.

I/we hereby give consent to retain an amount of up to 10,000/- (Rupees Ten Thousand Only) (net amount across segment and across stock exchanges) as per SEBI and Exchange directives to avoid the administrative/ operational difficulties in setting my/our account.

	_____ (15/21)
<b>Client Signature</b>	

Date :   -   -

### INTIMATION TO CLIENTS AND NOTING-MANDATORY

VOLUNTARY

To ,  
ALB Stock Broking Pvt. Ltd.  
Ahmedabad

Sir(s),

#### Re. : Confirmation of noting

I / We confirm that we have made note of the following:

1. That you trade in your OWN/PRO account i.e. you do trade in Proprietary Account.
2. That your investor grievance email ID is [grievances@albstock.co.in](mailto:grievances@albstock.co.in)
3. That I / we have read all the mandatory and voluntary terms and conditions and do consent for the same.
4. That I / we have to furnish/update Financial Details every year to the Member as per SEBI / PMLA requirement.
5. That I / we have read / understood the Anti Money Laundering Policy & Procedure and I know that the same is made available on your website [www.albstock.co.in](http://www.albstock.co.in)
6. That I / we agree/s that I / we am / are responsible for clearing out my debit ledger balance to NIL at least once in every month / quarter.
7. That any Voluntary terms and conditions which is in violation of exchange / SEBI rules and regulations and circular issued from time to time shall become null and void.

Thank you,

Client Name : \_\_\_\_\_

Client Code : \_\_\_\_\_

	_____ (16/21)
<b>Client Signature</b>	

Date :   -   -



**DECLARATION FOR NOT HAVING MOBILE NO. AND E-MAIL ID**

To,  
The Director  
M/s. ALB Stock Broking Pvt. Ltd.  
Ahmedabad .




Ref.: **Declaration for not having Mobile No. and / E-mail ID**

I / we \_\_\_\_\_ having Client Code \_\_\_\_\_, registered with you in NSE CM / NSE FO / BSE CM / BSE FO / MCX-SX CD segment hereby declare that, I / We do not have **Mobile No.** and / **E-mail ID** registered in my / our name/s.

I / we hereby agree and confirm you that, as I / we do not have **Mobile No.** and / **E-mail ID** registered in my / our name/s, I / we do not have any objection if you upload **6666666666** instead of my / our Mobile No. and **notprovided@notprovided.com** instead of my / our E-mail ID in all or any exchange in which you are registered or will register in future.

I / We am/are agree with the above mentioned details.

Yours faithfully,

	First/Sole Holder / Authorised Signatory or Guardian (in case of Minor)	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Name			
Designation			
Signature	 (18/21)		

**(Signatures should be preferably in black ink).**

To,  
**ALB STOCK BROKING PVT LTD**  
 Shaan 203, Nr Sakar II, Opp. Town Hall,  
 Ellisbridge, Ahmedabad – 380 006.

Dear Sir,

**Sub: Request for RTGS / NEFT Pay-out facility.**

This is with reference to the KYC executed with you for the purpose of dealing in securities on the stock exchange(s) through you under Client code \_\_\_\_\_.

In this connection, I /we request you to update my update details in your records as under.

**BANK ACCOUNT PARTICULARS**

<b>Name of the Bank</b>	
<b>Name of the Bank Branch</b>	
<b>Account Type</b>	<input type="checkbox"/> Savings/ <input type="checkbox"/> Current/ <input type="checkbox"/> Others _____ (Pl. Specify)
<b>Account Number</b>	
<b>RTGS/NEFT/IFC Code</b>	

I/we request you to deposit my / our pay-out in respect of my / our transactions directly to above mentioned bank account (provided such facility is available) or any other bank account which I/we may intimate from time to time.

**TERMS AND CONDITIONS:**

Addition to the voluntary clauses contained in the KYC documents executed with the client, the client herein specifically agrees with the stock broker and authorizes the stock broker to arrange release of payout of funds (subject to other governing conditions agreed to in the KYC documents) by making direct credit to the bank account of the client maintained with any bank, the details of which are provided by the client to the stock broker. It is also agreed to by the clients that since the bank account details are provided by the client (based on which the stock broker were to arrange marking credits thereto) in case of any wrong entry flowing into any wrong account due to mistake on part of the client, stock broker shall not accept any responsibility/consequences relating thereto.

Registration and activation of payout of funds through RTGS/NEFT mode by stock broker is subject to receipt of copy of cancelled cheque from client. Rejection/Deactivation of facility of payout of funds through RTGS/NEFT to client is at the discretion of the stock broker.

Thanking you,

Yours truly,

	(19/21)
<b>Client Signature</b>	

**Enclosure: Copy of cancelled cheque from above mentioned bank account**

**ANTI-MONEY LAUNDERING- BRIEF**

**VOLUNTARY**

- Money Laundering can be defined as engaging in financial transactions that involve income derived from criminal activity, transactions designed to conceal the true origin of criminally derived proceeds and appears to have been received through legitimate sources/origins.
- “Know Your Customer” (KYC) is the guiding principle behind the Anti-Money Laundering (AML) measures. 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.
- The Trading Member adopts such policies or may resort to such measures as to establish the credentials of the Client’s database submitted.
- Periodically, as and when the trade volumes register a hike and profits cross the limit vis-à-vis the financial status of the client produced with documentary evidence, the member reserves the right to probe a channel or source from 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.
- Trading Member believes 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, which include sending confidential, reports to the concerned authorities under the law. If malpractice 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.
- The Client must furnish all required information such as financial statements, any other information relevant as may be required for following Anti Money Laundering Standards.

**FOR OFFICE USE ONLY**

**Risk Categorisation**

Low  Medium  High

**CSC**

Yes  No

	
<b>Employee Signature</b>	

**AUTHORISED PERSON USE ONLY**

REMIER CODE : \_\_\_\_\_

REMIER SCHEME : \_\_\_\_\_

MAPPING CTCL USER CODE : \_\_\_\_\_

BROK SLAB : \_\_\_\_\_ (IF DEFINE)

Branch Code :

Family Code :

Date :   -   - 2 0 1

	
<b>Authorised Signatory</b>	

## POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME,  
I \_\_\_\_\_ residing at

Whereas being desirous of appointing some fit and proper person as my true and lawful attorney to operate my Beneficial Owner (BO) Account No. **12064900** with Central Depository Services (India) Ltd.

Whereas **ALB Stock Broking Private Limited**, the Depository Participant having DP ID 12064900 through whom I hold the said BO account with CDSL has agreed to act as my constituted attorney for the purposes aforesaid, in the manner and to the extent herein below specified.

**And Whereas** I am an investor engaged in buying and selling of securities through **ALB Stock Broking Pvt. Ltd.**, a member of National Stock Exchange of India Ltd., bearing SEBI registration No. **INB/INF 231359937** and a member of Bombay Stock Exchange Limited, bearing SEBI registration No. **INB/INF 011359933**.

NOW KNOW YOU ALL AND THESE PRESENTS WITNESSES that I, the said \_\_\_\_\_ do hereby appoint and constitute the said **ALB Stock Broking Pvt. Ltd** as my true and lawful attorney to have and exercise the powers and/or authority, and to do and/or execute the acts, deeds matters and things herein below specified:

- To operate and maintain my BO A/c No. **12064900** with **ALB Stock Broking Pvt. Ltd.** bearing DP-ID 12064900 in Central Depository Services (India) Limited (CDSL) in the manner as specified herein under.
- To debit/transfer securities from the aforesaid account for the purpose of delivering the same to the clearing house of the recognized stock exchange towards any segment in respect of

securities sold by me through them and/or transfer the securities towards exchange related margin obligations to the below mentioned accounts.

## In case of BSE

Sr. No.	Account Number	Purpose
1	11000010 00021748	EARLY PAYIN
2	12064900 00000281	PRINCIPAL ACCOUNT
3	IN300095 11497668	NSDL CM POOL A/C
4	12064900 00000294	CDSL CM POOL A/C
5	12064900 00000315	CDSL CLIENT BENEFICIARY A/C
6	13011902 00007640	MARGIN ACCOUNT

## In case of NSE

Sr. No.	Account Number	Purpose
1	11000011 00018051	EARLY PAYIN
2	IN300095 11479238	NSDL CM POOL A/C.
3	12064900 00012411	CDSL CM POOL A/C.
4	12064900 00000790	CDSL MARGIN ACCOUNT
5	IN300095 11478923	NSDL MARGIN ACCOUNT
6	12064900 00000786	CDSL CLIENT BENEFICIARY A/C
7	IN300095 11478966	NSDL CLIENT BENEFICIARY A/C

- To accept and give effect to any corporate benefits accrued on my securities into my BO account held either in the physical or dematerialised form.

In case, the securities that may have been delivered/ transferred/ credited/debited to my Demat account erroneously, then **ALB Stock Broking Pvt. Ltd.** shall be authorized to instruct the DP to reverse without obtaining any authorization from me.

I further authorize **ALB Stock Broking Pvt. Ltd** to send consolidated summary of scrip-wise buy and sell positions taken with average rates to me by way of SMS / email on a daily basis.

AND I, do hereby agree to ratify all lawful acts and things done by the said attorney pursuant to the powers hereinabove contained.






I further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I have given to the Depository Participant in writing to the contrary and the said

revocation shall be effective from the date on which the revocation notice is received by the **ALB Stock Broking Pvt. Ltd.** in his registered office.

IN WITNESS WHEREOF I, the above named Mr. \_\_\_\_\_ have hereunto set my hands this \_\_\_\_\_ day of \_\_\_\_\_ Two Thousand \_\_\_\_\_.

Signed, sealed and delivered)

**By the within named Beneficial Owner :**




- 1. \_\_\_\_\_  (20/21)
- 2. \_\_\_\_\_ 
- 3. \_\_\_\_\_ 

[Name of Beneficial owners]

[Signature of Beneficial owners]

**Name of Co-parceners**

Signature of Co-parceners

- 1. \_\_\_\_\_ 
- 2. \_\_\_\_\_ 
- 3. \_\_\_\_\_ 

**IN THE PRESENCE OF :**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

[Name & Address of Witness]

[Signature of Witness]

**I Accept,**

**ALB Stock Broking Pvt. Ltd**

**Regd. Office :** Shaan - 203 ,Nr. Sakar-2,  
Opp.Town Hall, B/H Sakar-4, Ellisbridge,  
Ahmedabad-380006

**For ALB Stock Broking Pvt. Ltd**  
**Director / Authorised Person**





Think Growth...

# ALB STOCK BROKING PVT. LTD.

Shaan - 203, Nr. Sakar-II, Opp. Town Hall, B/h. Sakar IV, Ellisbridge, AHMEDABAD-380006.  
Tel. : 079-26576441 Fax : 079-26576440 E-mail : kyc@albstock.co.in

Membership No. : NSE – 13599, BSE – 6127,  
SEBI REGN. No. : NSE : INB/INF 231359937, BSE : INB/INF 011359933  
CDSL DP ID No. : 1264900 • SEBI REGN. No. : IN-DP-CDSL-61-2015

## ACKNOWLEDGEMENT


I / we hereby acknowledge receipt of following documents within 7 days of its execution :

- Welcome Letter alongwith Unique Client Code
- A copy of duly filled KYC [NSE, BSE, Demat]
- A copy of Rights & Obligations along with Additional Rights & Obligations for IBT & Wireless Trading
- A copy of Guidance Note, Policy & Procedure and Tariff Sheet
- A copy of Voluntary Terms & Conditions, Confirmation & Notings etc.
- A copy of Running Account Authorization and other documents and Authorization executed by me/us.
- A copy of duly executed DP-BO Agreement
- Annexure for SMS Registration and Terms and Condition
- Nomination Form
- A copy of Power of Attorney (POA)

Client/B. O. Name : \_\_\_\_\_

BO ID : 

1	2	0	6	4	9	0	0								
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Signature :  \_\_\_\_\_  
(21/21)

Date : 

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(Tick [ ✓ ] against applicable documents)

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