

**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<br>Cash Segment | NSE<br>F&O Segment | BSE<br>Cash Segment | BSE<br>F&O Segment |
|---------------|---------------------|--------------------|---------------------|--------------------|
| SEBI Reg.No.  | INZ000257335        | INZ000257335       | INZ000257335        | INZ000257335       |
| SEBI Reg.Date | 25/04/2019          | 25/04/2019         | 25/04/2019          | 25/04/2019         |
| Member Code   | 13599               |                    | 6127                |                    |

**NSE F&O Clearing Member Name** : ALB STOCK BROKING PVT. LTD.

**Address** : 203, SHAAN, NR.SAKAR II, OPP. TOWN HALL, ELLISBRIDGE, AHMEDABAD-380006.

**Phone Number** : 079-26576440

**IG Email ID** : albstock@yahoo.com

**Clg No.** : M51703

**SEBI Registration No.** : INZ000257335

**SEBI Registration Date** : 25/04/2019

**CEO/COMPLIANCE OFFICER DETAILS**

| Name                                | E-mail                  | Phone        |
|-------------------------------------|-------------------------|--------------|
| <b>Ms. Pooja H. Sheth (NSE/BSE)</b> | bhadresh@albstock.co.in | 079-26576440 |
| <b>Mr. Bhadresh Maniyar (CDSL)</b>  | bhadresh@albstock.co.in | 079-26576440 |

for any grievance / dispute please contact Alb Stock Broking Pvt.Ltd at the above address or  
e-mail ID : grievances@albstock.co.in and phone : 079-26576440

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

| Exchange | E-mail ID       | Phone/Fax No.                  |
|----------|-----------------|--------------------------------|
| NSE      | ignse@nse.co.in | (022)26598190<br>(022)26598191 |
| BSE      | is@bseindia.com | (022) 22728097                 |

**DP DETAILS**

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

You may visit [www.albstock.co.in](http://www.albstock.co.in) to view Soft Copy of **Docket C** Containing Rights & obligation, Uniform RDD and Guidance Note. Further, the above documents is also made available in vernacular languages, please visit our website or download from BSE website

( [http://www.bseindia.com/investors/client\\_regislanguages.aspx?expandable=3](http://www.bseindia.com/investors/client_regislanguages.aspx?expandable=3) )

NSE website ([https://www.nseindia.com/membership/content/complinc\\_trading\\_mem.htm](https://www.nseindia.com/membership/content/complinc_trading_mem.htm))



## ACCOUNT OPENING KIT (THROUGH BUSINESS ASSOCIATES) INDEX

| S. No.                     | Name of the Document               | Brief Significance of the Document   | Page No |
|----------------------------|------------------------------------|--|---------|
| <b>[BOOK-1] DOCKET - A</b> |                                    | <b>CKYC</b>  |         |
| 1                          | CKYC                               | CENTRAL KYC REGISTRY   | 3 - 4   |
| <b>[BOOK-1] DOCKET - B</b> |                                    | <b>DEMAT ACCOUNT OPENING FORM</b>  |         |
| 2                          | Account opening Form               | KYC form - Document capture the basic information about the constituent.<br>Document capture the additional information about constituent relevant to Demat Account.   | 5 - 8   |
| 3                          | DIS Option                         | In case of POA Facility Opted , Option for BOs to Opt or Not to Opt for DIS.   | 9       |
| 4                          | SMS Registration                   | Terms and Conditions-cum Registration / Modification form for Receiving SMS alerts from CDSL.  | 10 - 11 |
| 5                          | Tarrif Sheet - Demat               | Document detailing the charges levied on client for Demat Account operations.  | 12      |
| <b>[BOOK-1] DOCKET - C</b> |                                    | <b>TRADING ACCOUNT OPENING FORM<br/>( Mandatory documents as prescribed by SEBI &amp; Exchanges )</b>  |         |
| 6                          | Account Opening form               | Document Captures the additional information about the Constituent relevant to trading account and instruction check list.   | 13 - 16 |
| 7                          | Policies and Procedures            | Document describing significant policies and Procedures of the stock broker.   | 17 - 18 |
| 8                          | Tariff Sheet                       | Document detailing the rate / amount of brokerage and other Charges levied on the client for trading on the stock exchange(s).   | 19      |
| <b>[BOOK-2] DOCKET - D</b> |                                    | <b>MANDATORY DOCUMENTS<br/>Provided Separately as per Client's Preference selection</b>  |         |
| 9                          | Rights and Obligations             | Document Stating the right & Obligation of DP & BO.  | 1 - 3   |
| 10                         | Rights and Obligations             | Document stating the Right & Obligations of Stock Broker / Trading Member , Sub-Broker and Client for trading on Exchanges ( including additional right & obligations in case of Internet/wireless technology based trading ). | 4 - 8   |
| 11                         | Risk Disclosure Document           | Document detailing risks associated with dealing in the ( RDD ) Securities market .  | 9 - 12  |
| 12                         | Guidance note                      | Document detailing do's and don'ts for trading on exchange , for the Education of the investors.   | 13 - 14 |
| <b>[BOOK-1] DOCKET - E</b> |                                    | <b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>   |         |
| 13                         | Terms & Conditions                 | Document detailing voluntary terms & conditions for Smooth functioning of operations.  | 20 - 21 |
| 14                         | Running account Authorization      | A . Document authorizing the member to Maintain running account of client in stead Of settlement wise accounting of funds and Securities.  | 22      |
|                            | Confirmation & Noting              | B . Document confirming consent & noting by client.  |         |
| 15                         | Other Authorization & Confirmation | Document confirming Demat charges ,ECN/SMS and CSE Details.  | 23      |
| 16                         | DECLARATION                        | Declaration for not having Mobile No. and E-mail ID.   | 24      |
| 17                         | RTGS/NEFT Payout Facilities        | Document requesting for NEFT/RTGS Payout.  | 25      |
| 18                         | Anti Money Laundering              | Customers education about Anti Money Laundering.   | 26      |
| 19                         | Power of Attorney                  | POA for pay-in of securities.  | 27 - 28 |
| 20                         | FATCA Declaration                  | To comply with FATCA guidelines declaration regarding residential status and property held outside India.  | 29      |



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**



**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

(To be filled by financial institution)

Application Type\*  New  Update   
 KYC Number  (Mandatory for KYC update request)  
 Account Type\*  Normal  Simplified (for low risk customers)  Small

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

|   | Prefix  | First Name           | Middle Name          | Last Name            |
|---|---|----------------------|----------------------|----------------------|
| <input type="checkbox"/> Name* (Same as ID proof) | <input type="text"/>  | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Maiden Name (If any*)                             | <input type="text"/>  | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Father / Spouse Name*                             | <input type="text"/>  | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Mother Name*                                      | <input type="text"/>  | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Date of Birth*                                    | <input type="text" value="DD-MM-YYYY"/>   |                      |                      |                      |
| Gender*   | <input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender  |                      |                      |                      |
| Marital Status*                                   | <input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others   |                      |                      |                      |
| Citizenship*                                      | <input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )   |                      |                      |                      |
| Residential Status*                               | <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian<br><input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin   |                      |                      |                      |
| Occupation Type*                                  | <input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector )<br><input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife )<br><input type="checkbox"/> B-Business <input type="checkbox"/> Student )<br><input type="checkbox"/> X- Not Categorised |                      |                      |                      |
|   | Signature Thumb Impression  (1)   |                      |                      | <b>PHOTO</b><br>     |

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

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

ISO 3166 Country Code of Jurisdiction of Residence\*  Country of Tax Residency

Tax Identification Number or equivalent (If issued by jurisdiction)\*  Identification Type

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

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

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

**4. PROOF OF ADDRESS (PoA)\***

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

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

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)

Voter Identity Card  NREGA Job Card  Others

Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

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

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

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

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

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

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

FAX - Email ID

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

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

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Name\* Prefix  First Name  Middle Name  Last Name

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

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

A- Passport Number  Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code  Identification Number

**7. REMARKS (If any)**

**8. APPLICANT DECLARATION**

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

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

Date : -- Place :

(2) Signature / Thumb Impression of Applicant

**9. ATTESTATION AND IN PERSON VERIFICATION (IPV) DETAIL / FOR OFFICE USE ONLY**

Documents Received  Certified Copies (Self Attested)  (Original Verified) true Copies of Document's

**IPV and C-KYC VERIFICATION CARRIED OUT BY**

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

**INSTITUTION DETAILS**

Name

Code

[Sign of person who has done IPV / Attestation]

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

Depository Participant : **ALB STOCK BROKING PVT. LTD.**  
 "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. : **IN-DP-CDSL-61-2015** DP ID : **12064900**

|                           |          |          |          |          |          |          |          |          |           |   |  |  |  |
|---------------------------|----------|----------|----------|----------|----------|----------|----------|----------|-----------|---|--|--|--|
| Application No.           |          | Date     |          |          | -        |          |          | -        | 2         | 0 |  |  |  |
| 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                |     |  |  |  |  |  |  |  |  |  |  |  |
|                          | UCC                |     |  |  |  |  |  |  |  |  |  |  |  |
|                          | Exchange Name & ID |     |  |  |  |  |  |  |  |  |  |  |  |
| 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<br><input type="checkbox"/> Individual Director's Relative<br><input type="checkbox"/> Individual Promoter<br><input type="checkbox"/> Individual Margin Trading A/c. (MANTRA) | <input type="checkbox"/> Individual - Director<br><input type="checkbox"/> Individual HUF / AOP<br><input type="checkbox"/> Minor<br><input type="checkbox"/> Others (Specify) _____ |
| <input type="checkbox"/> <b>NRI</b>              | <input type="checkbox"/> NRI Repatriable<br><input type="checkbox"/> NRI Repatriable Promoter<br><input type="checkbox"/> NRI - Depository Receipts   | <input type="checkbox"/> NRI Non-Repatriable<br><input type="checkbox"/> NRI Non-Repatriable HUF / AOP<br><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)**

|                             |  | 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]<br><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 Rights & Obligation of DP and Bo  | <input type="checkbox"/> Physical <input type="checkbox"/> Electronic          |

|   |  |
|---|--|
| I/We would like to receive the annual report in<br>(Tick the applicable box. If not marked the default option would be in Physical)   | <input type="checkbox"/> Physical <input type="checkbox"/> Electronic<br><input type="checkbox"/> Both Physical and Electronic |
| I/we wish to receive dividend / interest directly in to your bank account,<br>given below through ECS (If not marked, the default option would be 'Yes')<br>(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<br>(If not marked the default option would be in Physical)  | <input type="checkbox"/> Physical <input type="checkbox"/> Electronic<br><input type="checkbox"/> NO CAS                       |

| BANK DETAILS (Dividend Bank Details)  |   |  |  |         |  |  |     |  |  |  |
|---|---|--|--|---------|--|--|-----|--|--|--|
| Bank Code (9 Digit MICR Code)   |   |  |  |         |  |  |     |  |  |  |
| IFSC 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)<br>(ii) Photocopy of the Bank Statement having name and address of the BO<br>(iii) Photocopy of the Passbook having name and address of the BO, (or)<br>(iv) Letter from the Bank.<br>• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document. |   |  |  |         |  |  |     |  |  |  |

| OTHER DETAILS  |  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|--|
| <b>Sole/ Frist Holder</b>  |  |  |  |  |  |  |  |  |  |  |
| <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<br><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) :<br><input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional<br><input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer<br><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)<br>For detifinition of PEP, please refer guideline <input type="checkbox"/> note Applicable  |  |  |  |  |  |  |  |  |  |  |
| <b>4. Any other information</b> : _____  |  |  |  |  |  |  |  |  |  |  |
| <b>Second Holder</b>   |  |  |  |  |  |  |  |  |  |  |
| <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<br><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) :<br><input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional<br><input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer<br><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)<br>For detifinition of PEP, please refer guideline <input type="checkbox"/> note Applicable  |  |  |  |  |  |  |  |  |  |  |
| <b>4. Any other information</b> : _____  |  |  |  |  |  |  |  |  |  |  |
| <b>Third Holder</b>  |  |  |  |  |  |  |  |  |  |  |
| <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<br><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) :<br><input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional<br><input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer<br><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)<br>For detifinition of PEP, please refer guideline <input type="checkbox"/> note Applicable  |  |  |  |  |  |  |  |  |  |  |
| <b>4. Any other information</b> : _____  |  |  |  |  |  |  |  |  |  |  |

|   |   |  |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |   |
|---|---|--|---|---|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|---|
| <b>SMS Alert Facility</b><br>Refer to Terms & Conditions given as <b>Annexure-2.4</b> |   | MOBILE NO. <table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td style="width: 20px; text-align: center;">+</td> <td style="width: 20px; text-align: center;">9</td> <td style="width: 20px; text-align: center;">1</td> <td style="width: 20px;"></td> </tr> </table><br>(Mandatory, if you are giving Power of Attorney (POA)<br>(If POA is not granted & you do not wish to avail of this facility,<br>Cancel this Option) | + | 9 | 1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | <input type="checkbox"/> Yes<br><input type="checkbox"/> No |
| +   | 9   | 1  |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |   |
| <b>easi</b>   | To register to easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a><br>easi allows a BO to view his ISIN balances, transactions and value of the portfolio online. |  |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |   |
| <b>NOMINATION DETAILS FOR DEMAT</b>   |   |  |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |   |
| Nomination Registration No.   |   | Dated  |   |   |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |   |

Dear Sir / Medam,

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

 I / We do not wish to nominate any one for this demat account.

 I / We nominate the Following persons, who is/are entitled to receive fund and security balances lying in my / our account particulars whereof are given below, in the event of my / our death

| Nomination Details  | Nomination - 1 | Nomination - 2 | Nomination - 3 |
|---|----------------|----------------|----------------|
| <b>Nominee Name:</b>  |                |                |                |
| <b>First Name:</b>  |                |                |                |
| <b>Middle Name:</b>   |                |                |                |
| <b>Last Name:</b>   |                |                |                |
| Nomination Details  | Nomination - 1 | Nomination - 2 | Nomination - 3 |
| <b>Address:</b>   |                |                |                |
| <b>City:</b>  |                |                |                |
| <b>State:</b>   |                |                |                |
| <b>Pin:</b>   |                |                |                |
| <b>Country:</b>   |                |                |                |
| <b>Telephone No.:</b>   |                |                |                |
| <b>Fax No.:</b>   |                |                |                |
| <b>Pan No:</b>  |                |                |                |
| <b>UID:</b>   |                |                |                |
| <b>Email ID:</b>  |                |                |                |
| <b>Relationship with BO:</b>  |                |                |                |
| <b>Date of birth (mandatory if Nominee is a minor)<br/>dd-mm-yyyy</b> |                |                |                |
| <b>Name of the guardian of Nominee (if nominee is a minor)</b>        |                |                |                |
| <b>First Name:</b>  |                |                |                |

|  |  |  |  |
|--|--|--|--|
| <b>Middle Name:</b>  |  |  |  |
| <b>Last Name:</b>  |  |  |  |
| <b>Address of the gurdian of nominee</b>   |  |  |  |
| <b>City:</b>   |  |  |  |
| <b>State:</b>  |  |  |  |
| <b>Country:</b>  |  |  |  |
| <b>Pin:</b>  |  |  |  |
| <b>Age:</b>  |  |  |  |
| <b>Telephone No.:</b>  |  |  |  |
| <b>Fax No.:</b>  |  |  |  |
| <b>Email ID:</b>   |  |  |  |
| <b>Relationship of the Guardian With the Nominee</b>   |  |  |  |
| <b>Percentage of allocation of securities</b>  |  |  |  |
| <b>Residual Securities</b><br>Please tick any one Nominee if tick not market the default will be First Nominee |  |  |  |

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

**\* Marked is mandatory field**

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

**Note:** One witnesses shall attest signature(s) / Thumb impression(s).

| Detail of the Witness |   | Witness |  |
|-----------------------|---|---------|--|
| Name of Witness       |   |         |  |
| Address of Witness    |   |         |  |
| Signature of Witness  |  |         |  |

I / We have received 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 (s) in the details/Particulars mentioned by me / us in this from. I/We further agree that any false / miscading information give by me / us or suppression of any matrrial information will be render my account Liable for termination and suitable action.

| First/Sole Holder or Guardian (In Case of Minor) |  | Second Holder | Third Holder |
|--|--|---------------|--------------|
| <b>Name:</b>                                     |  | <b>Name:</b>  | <b>Name:</b> |

|   |   |   |
|---|---|---|
|  |  |  |
| (3) Signature of Applicant  | Signature of Applicant  | Signature of Applicant  |

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

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

- 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.
- Signatures should be preferably in black ink.
- 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.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- 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.
- All correspondence / queries shall be addressed to the first / sole applicant.
- Strike off whichever option, in the account opening form, is not applicable.

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

|       |   |   |   |   |   |   |   |   |           |      |  |  |   |  |  |   |   |   |  |  |
|-------|---|---|---|---|---|---|---|---|-----------|------|--|--|---|--|--|---|---|---|--|--|
|       |   |   |   |   |   |   |   |   |           | Date |  |  | - |  |  | - | 2 | 0 |  |  |
| DP ID | 1 | 2 | 0 | 6 | 4 | 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 | <br>(4) |  |  |

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 | <br>(4) |  |  |

**TERMS AND CONDITIONS-CUM-REGISTRATION /  
 MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL  
 SMS ALERT WILL BE SEND BY CDSL TO BO FOR ALL DEBITS.**
**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.

|  |          |   |          |   |          |
|--|----------|---|----------|---|----------|
|  | <br><br> |  | <br><br> |  | <br><br> |
| 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 Holder / Sole Holder | Second Holder | Third Holder |  |

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

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



Think Growth...

# 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 | BSDA                  |
| ACCOUNT OPENING                       | NIL               | NIL   | NIL      | NIL                   |
| STAMP PAPER CHARGES                   | NIL               | NIL   | NIL      | NIL                   |
| POA CHARGES                           | NIL               | NIL   | NIL      | NIL                   |
| MAINTENANCE CHARGES                   | 200 (PER ANNUM) * | 444** | 2500 *** | As Prescribed by SEBI |
| <b>TRANSACTION CHARGES PER ISIN :</b> |                   |       |          |                       |
| Within Company                        | 15                | 12    | 12       | 15                    |
| Outside Company                       | 20                | 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 GST 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 exchange transaction charge.
- 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. 444 /- 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.
- Presently AMC for Basic Service Demat Account is Nil for BO having Demat Holding value Less than Rs. 50000/- and Rs. 100/- f or BO having Demat Holding Value More than 50000/- but Less than Rs. 200000/-.

|                      |                            |  |
|----------------------|----------------------------|--|
| <b>Scheme Name :</b> |                            | <b>Client Code :</b>   |
|                      | <b>Name of the Holders</b> | <b>Signature(s)</b>  |
| Sole/First Holder    |                            | <br>(7) |
| Second Holder        |                            |         |
| Third Holder         |                            |         |

## **Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories**

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, **2018**, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

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

### **Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

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

### **Separate Accounts**

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

**Annexure 2.7**

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

**Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

**Statement of account**

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

**Manner of Closure of Demat account**

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

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

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

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

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

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

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

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

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

25. 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**

26. 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.

**Annexure 2.7****Law and Jurisdiction**

27. 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.
28. 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.
29. 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.
30. 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
31. 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.
32. 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.

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

| A. BANK ACCOUNT DETAILS : (Attach proof for all) (Sr. No. 1 will be default A/c.)   |                             |   |                  |              |  |           |
|---|-----------------------------|---|------------------|--------------|--|-----------|
|   | 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. DEPOSITORY ACCOUNT DETAILS : (Attach proof for all) (Sr. No. 1 will be default A/c.)   |                             |   |                  |              |  |           |
|   | 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.  |                             |   |                  |              |  |           |
| C. TRADING PREFERENCES  |                             |   |                  |              |  |           |
| *Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.  |                             |   |                  |              |  |           |
| NSE   | Cash Segment                | <input checked="" type="checkbox"/> (8)<br>Signature of Applicant | BSE              | Cash Segment | <input checked="" type="checkbox"/> (10)<br>Signature of Applicant |           |
|   | F&O Segment                 | <input checked="" type="checkbox"/> (9)<br>Signature of Applicant |                  | F&O Segment  | <input checked="" type="checkbox"/> (11)<br>Signature of Applicant |           |
| If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.  |                             |   |                  |              |  |           |
| D. PAST ACTIONS   |                             |   |                  |              |  |           |
| <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> |                             |   |                  |              |  |           |
| E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS   |                             |   |                  |              |  |           |
| If client is dealing through the sub-broker, provide the following details  |                             |   |                  |              |  |           |
| Sub-broker's Name   |                             |   |                  |              |  |           |
| SEBI Registration number  |                             |   |                  |              |  |           |
| Registered office address   |                             |   |                  |              |  |           |
| Phone   |                             | Fax   |                  | Website      |  |           |
| Whether dealing with any other stock broker/sub-broker<br>(if case dealing with multiple stock brokers/sub-brokers, provide details of all)   |                             |   |                  |              |  |           |
| Name of stock broker  |                             |   |                  |              |  |           |
| Name of Sub-Broker, if any  |                             |   |                  |              |  |           |
| Client Code   |                             |   |                  |              | Exchange   |           |
| Details of disputes/dues pending from/to such stock broker/sub- broker  |                             |   |                  |              |  |           |
| F. ADDITIONAL DETAILS   |                             |   |                  |              |  |           |
| Whether you wish to receive <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<br><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) :<br><input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional<br><input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer<br><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)<br>For definition of PEP, please refer guideline  |
| <b>4. Whether you wish to receive Docket containing Rights &amp; Obligation, Uniform RDD &amp; Guidance Note in ( ) Physical Form or ( ) Electronic Form at the above email ID.</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.

|   |      |
|---|------|
|   |      |
|   | (12) |
| Signature of Client /<br>(all) authorized Signatory (ies) |      |

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

Date :   -   -  2  0

**FOR OFFICE USE ONLY:**

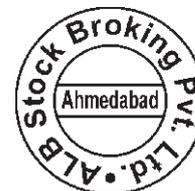
UCC Code allotted to the Client : \_\_\_\_\_

|                             | 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 :   -   -  2  0

\_\_\_\_\_  
(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.

## 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/month 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 month but not later than 2 years then his account shall be termed as "Inoperative / Dormant" such dormant account shall be reactivated through telephonic confirmation.

In case client has not used his account for more than 2 years then account shall be termed as "Inactive " Such inactive account shall be reactivated hazed on Account Reactivation Request.

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.

|   |      |
|---|------|
|  | (13) |
| <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     |
| Delivery Based              |   | Not Applicable |           | Not Applicable |
| Daily Square Up             |   |                |           |                |
| GST                         | <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 |
| Daily Square Up             |   |            |               |            |
| Settlement Square Up        | Same as above   |            | Same as above |            |
| Expiry                      |   |            |               |            |
| GST                         | <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 |
| Daily Square Up             |   |            |               |            |
| Settlement Square Up        | Same as above   |            | Same as above |            |
| Expiry                      |   |            |               |            |
| GST                         | <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. GST (C GST, S GST, I GST) |
| 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



(14)

**Client Signature**

**NON MANDATORY DOCUMENT****ADDITIONAL TERMS & CONDITIONS FOR SMOOTH OPERATIONS AND COMPLIANCE**

(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 **ALB Stock Broking Private Limited** (hereinafter referred to as **ASBPL**) and agree to be bound by the same.

**1. Internet Based Trading Services: E-Broking Services, Wireless Securities Trading & Dial & Trade 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.

**2. Electronic Payment Gateway for Net Banking Services:**

Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with **ASBPL**. Client understands that **ASBPL** is only providing access to the electronic fund transfer facility provided by the banker of the Client through **ASBPL's** website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make **ASBPL** a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that **ASBPL's** liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank

**3. PMLA Declaration**

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by **ASBPL** officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that;

- a. I do not have any links with any known criminal
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

**4 . Errors and Omissions**

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances **ASBPL** shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold **ASBPL** responsible beyond this and claim

additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by **ASBPL**.

**5. Extra Ordinary Events and termination/suspension of trading facility: ASBPL** will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension

of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond **ASBPL's** control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any **ASBPL** may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

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

**6. Non-execution/delay/cancellation of Orders:**

The client hereby agrees that **ASBPL** or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the trading services, disruptions or congestion of communication networks, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of **ASBPL** or the Exchange.

**7. Client not to act on representations of agents, employees:**

Client is aware that **ASBPL** has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of **ASBPL**.

**8. Indemnification:**

I hereby indemnify and hold **ASBPL**, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the **ASBPL** directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting documents provided by me at the time of registration and/ or subsequently.

### 9. Indemnity of Joint Holdings:

I hereby agree to indemnify and hold the **ASBPL** harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and /or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

### 10. NRI Declaration

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate ( FIRC ) to **ASBPL** every time the investment is made. Further, I /we undertake to update any status change and shall abide by FEMA , RBI and SEBI guidelines with regard to NRI investment in India.

### 11 Third-Party Payments

**ASBPL** shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along-with adequate proof thereof as per proforma prescribed by **ASBPL**.

**ASBPL** shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by **ASBPL** and the credit for the same has been given in the client's ledger, **ASBPL** shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, **ASBPL** reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. **ASBPL**, its Directors and employees shall not be responsible for any consequential damages or losses.

### 12.No Dealings In Cash

**ASBPL** as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/SubBroker/Remisier/Employee/ Authorised Person of **ASBPL**.

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

\_\_\_\_\_

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

Date :   -   - 2 0

### 13. No Market Manipulation

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, **ASBPL** has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

### 14. Authorization to debit additional charges with regard to Trading and Demat Account:

Without prejudice to the other rights and obligations of the parties, the client understands and agrees that **ASBPL** may levy charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account for any service rendered by **ASBPL** and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients' Trading ledger account maintained with **ASBPL** for the demat charges payable to **ASBPL** as Depository for providing depository services.

### 15. Authorization for Inter Segment/Inter Exchange Fund Balance Transfer:

The client hereby authoriz **ASBPL** to transfer fund/ pay out resulting on account of sale of shares/contract/or margin refunds from NSE/BSE and adjust the same towards debit balances in any segment of NSE/BSE Further, I/we hereby authorise to consider credit available in one segment/ exchange towards margin / settlement obligation in another exchange/segment with or without passing journal entries.

### 16. Deliveries

The client shall ensure that the shares are properly transferred to the designated demat account of **ASBPL**, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges **ASBPL** In case the client fails to transfer the shares on time to **ASBPL**, **ASBPL** shall not be responsible for any loss/damages arising out of such delayed transfers.

Signed for and on behalf of the Client

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

|   |                         |
|---|-------------------------|
| <br>(15) | <b>Client Signature</b> |
|---|-------------------------|

**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 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..

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.

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)

  
**Client Signature**

Date :   -   -  2  0

**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
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
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 : \_\_\_\_\_

  
**Client Signature**

Date :   -   -  2  0

**VOLUNTARY**
**(A) Consent to debit trading account of client for DP charges and levies in demat account or otherwise.**

To ,

**ALB Stock Broking Pvt. Ltd.**

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

Dear Sirs,

 I/We hereby authorise you to recover the debits in my demat account(s) maintained with you  
 (DP ID 12064900 \_\_\_\_\_ ) from the credits in my/our trading account code.

**(B) Electronic Documents : Authorisation**

 If you can provide, I/We do hereby request to receive ECN, statement of accounts, daily margin statement  
 and such other record/information/notice etc. to my/our E-mail Account / ID as mentioned in KYC form. In  
 case of any change, I/We shall promptly communicate in writing to you about the same.

**(C) SMS Authorisation**

 I/We do hereby declare and confirm to receive SMS about my/our position, margin, ledger balance and such  
 other brief information as may be voluntarily sent / provided by you on my/our mobile as mentioned in KYC  
 form. In case of any change therein, I/We shall promptly communicate in writing to you about the same.

**(D) Please tick mark the additional applicable category to you**

- Non resident client  
 High net-worth client (Having annual income + networth of more than Rs. 1 crore)  
 Trust, Charities, NGOs and organizations receiving donations  
 Company having close family shareholdings or beneficial ownership  
 Civil Servant or family member or close relative of civil servant  
 Bureaucrat or family member or close relative of bureaucrat  
 Current or Former MP, MLA or MLC or their family member or close relative  
 Politician or their family member or close relative  
 Current or Former Head of State or of Governments or their family member or close relative  
 Senior government/judicial/military officers or their family member or close relative  
 Senior executives of state-owned corporations or their family member or close relative  
 Companies offering foreign exchange offerings  
 None of the above

I/we wish to provide the mobile number and email id provided herein to the Exchange for SMS and Email Alerts.

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

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

|   |      |
|---|------|
|  | (18) |
| <b>Client Signature</b>   |      |

Date : 

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

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

Dear Sir,

**Sub: SMS and Email alerts facility by Stock Exchanges**

I/We are aware that the stock exchanges have commenced a process of confirming to investors details of their transactions carried out through stock brokers vide SMS and Email alerts on mobile and email I'd of the investor respectively.

Accordingly I/We record our consent to receive the following: .

- 1. SMS alerts  Yes  No
- 2. Email alerts  Yes  No
- 3. SMS and email alerts  Yes  No

Further, I /we declare that in case of negative consent, you may enter Email ID and Mobile Number as per Exchange circular Viz. Email ID as "notprovided@notprovided.com and Mobile Number as "6666666666".  
Mobile No. mandatory for CDSL Demat Account.

I/We provide herewith the mobile number and email I'd for receiving the details of the transactions:

Mobile No.

E-Mail ID:

Mobile No. Registered in the name of Self  Others

In case Mobile No. is registered in the name of any other person please specify the following:

Name of the person: \_\_\_\_\_

Relationship with the Client  Spouse  Dependent Child  Dependent parent

E-Mail ID Registered in the name of Self  Others

In case E-Mail ID is registered in the name of any other person please specify the following:

Name of the person: \_\_\_\_\_

Relationship with the Client  Spouse  Dependent Child  Dependent parent

I/We also understand that stock brokers are required to provide information of mobile no and email I'd to stock exchanges for their clients to avail this facility and I/We hereby authoriz **ALB Stock Broking Private Limited** to provide such information to stock exchanges.

I/We understand and agree that **ALB Stock Broking Private Limited** may at its discretion conduct necessary checks to ascertain that the mobile number and email I'd above belong to me/us before passing on information to the stock ex- changes. Further, I/We understand and agree that stock exchanges may also carry out necessary checks as they deem fit be fore enabling such facility to me/us.

I/We understand and agree tha **ALB Stock Broking Private Limited** is merely facilitating transmission of information in order that I/We are able to avail this facility and undertake to indemnify **ALB Stock Broking Private Limited**, its em- ployees and its affiliates from any losses /claims / damages that may arise in this regard.

Yours faithfully,

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

**Client/BO Name:** \_\_\_\_\_

**BO ID:** \_\_\_\_\_

|                         |      |
|-------------------------|------|
|                         | (19) |
| <b>Client Signature</b> |      |

Date : --

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/IFSC Code</b>           |   |  |  |  |  |  |  |  |  |
| <b>Bank Code (9 Digit MICR 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,

|  |      |
|--|------|
|  | (20) |
| <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**

REMISIER CODE : \_\_\_\_\_

REMISIER SCHEME : \_\_\_\_\_

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

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

Branch Code :

Family Code :

Date :   -   - 20

|                             |  |
|-----------------------------|--|
|                             |  |
| <b>Authorised Signatory</b> |  |

**FOR DEMAT ACCOUNT VOLUNTARY**
**POWER OF ATTORNEY**

TO ALL TO WHOM THESE PRESENTS SHALL COME,  
I/We \_\_\_\_\_ 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. **INZ000257335** and a member of Bombay Stock Exchange Limited, bearing SEBI registration No. **INZ000257335**

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:

1. 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.
- 2 - A. To debit/transfer securities from the aforesaid account to the below mentioned Demat accounts 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/us through them.

- B. To Pledge the securities and/or to Re-pledge the same to exchange, clearing corporation or clearing member towards exchange related margin obligations as collaterals to the below mentioned accounts.

| 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       |                   |                   |
| 6       |                   |                   |
| 7       |                   |                   |

**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 00033782 | CDSL CUSA / AC    |
| 5       | 12064900 00036652 | CMTM PLEDGE       |
| 6       |                   |                   |
| 7       |                   |                   |
| 8       |                   |                   |
| 9       |                   |                   |

3. 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. \_\_\_\_\_

|                  |      |
|------------------|------|
|                  | (21) |
| Client Signature |      |

2. \_\_\_\_\_

|                  |  |
|------------------|--|
|                  |  |
| Client Signature |  |

3. \_\_\_\_\_

|                  |  |
|------------------|--|
|                  |  |
| Client Signature |  |

[Name of Beneficial owners]

[Signature of Beneficial owners]

**Name of Co-parceners**

Signature of Co-parceners

1. \_\_\_\_\_

|                  |  |
|------------------|--|
|                  |  |
| Client Signature |  |

2. \_\_\_\_\_

|                  |  |
|------------------|--|
|                  |  |
| Client Signature |  |

3. \_\_\_\_\_

|                  |  |
|------------------|--|
|                  |  |
| Client Signature |  |

IN THE PRESENCE OF :

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

[Name & Address of Witness]

[Signature of Witness]

**I Accept,**

**ALB Stock Broking Pvt. Ltd**

**For ALB Stock Broking Pvt. Ltd**

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

**Director / Authorised Person**

# FATCA-CRS Declaration & Supplementary KYC Information

## Declaration Form for Individuals

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

PAN

Name

Type of Address Given For KYC/KRA  RESIDENTIAL  RESIDENTIAL OR BUSINESS  BUSINESS

Place of Birth

Country of Birth  Nationality

Gross Annual Income Details (In INR)  BELOW 1 LAKH  1 – 5 LACS  5 – 10 LACS  10 – 25 LACS  25 LACS – 1 CR  > 1 CRORE

Net Worth in INR In Lakhs  Net Worth As On

Occupation : Business  Professional  Public Sector  Housewife  Retired   
 Details Private Sector  Government Service  Student  Others (Please Specify)

Politically Exposed Person (PEP): Yes  Related to PEP  Not Applicable

Is your Country of Tax Residency other than India – Yes  No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

| S No | Country of Tax Residency# | Tax Payer Identification Number / Functional Equivalent | Identification Type [TIN or other, please specify] |
|------|---------------------------|---|--|
| 1    |                           |   |  |
| 2    |                           |   |  |
| 3    |                           |   |  |

# to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

### Declaration:

I/We have read & understood the information requirements of this Form (Read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us is true, correct & complete. I/We hereby authorize you to disclose, share, rely, remit in any form, mode or provided by me to any Indian or Foreign governmental statutory or judicial authorities/agencies, Financial Intelligence Unit (FIU-IND), the tax/revenue authorities of India, or outside India wherever it is legally required & other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI registered intermediaries / or any regulated intermediaries registered with SEBI/RBI/IRDA/PFRDA to facilitate single submission/update & for other relevant process. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We further agree to abide by the provisions on Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS).

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

 (22)  
**Client Signature**

**FATCA & CRS TERMS & CONDITIONS:** The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian Financial Institution to seek additional personal, tax and beneficial owner information and certifications and documentation from all our account holders.

Note: The information in this section is being collected in order to comply with Foreign Account Tax Compliance Act (FATCA) requirements pursuant to amendments made to Income-tax Act 1961 read with Income-tax Rules, 1962:

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# 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 : INZ000257335 | BSE : INZ000257335  
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, CDSL 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 Rights & Obligation of DP and BO. A copy of duly executed Right & obligation of DP-BO Agreement.
- Annexure for SMS Registration and Terms and Condition
- Nomination Form
- A copy of Power of Attorney (POA)
- Received Acknowledgement Receipt of Account opening Application.

BO ID : 

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Client/B. O. Name : 

|     |     |     |
|-----|-----|-----|
| (1) | (2) | (3) |
|-----|-----|-----|

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| <br>Client Signature | <br>Client Signature | <br>Client Signature |
|----------------------|----------------------|----------------------|

Date : 

|  |  |  |  |   |   |  |  |
|--|--|--|--|---|---|--|--|
|  |  |  |  | 2 | 0 |  |  |
|--|--|--|--|---|---|--|--|

(Tick  against applicable documents)

======(Please Tear here)=====

### Acknowledgement Receipt

**We hereby acknowledge the Account Opening Application Form & DIS option form**

#### ACKNOWLEDGEMENT RECEIPT

|                               |      |
|-------------------------------|------|
| Application No.               | Date |
| Name of the Sole/First Holder |      |
| Name of the Second Holder     |      |
| Name of the Third Holder      |      |

For, ALBStock Broking Pvt. Ltd.

|  |  |
|--|--|
|  |  |
| <b>Depository Participant Seal and Signature</b> |  |

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