



A.G.SHARES & SECURITIES LTD.

ACCOUNT OPENING FORM



CLIENT NAME

CLIENT CODE

DP ID IN301006

DP PLAN



A G Shares & Securities Limited

INDEX

Serial	Name of document	M = Mandatory V = Voluntary	Page
1	Account Opening Form	M	1
2	Client Profile Information Details & Trading Preferences (bank/demat/income range)	M	2
3	Anti Money Laundering Declaration	M	3
4	Mobile Trading Activation	V	4
5	Rights & Obligations of Stock Broker	M	5-6-7
6	Risk Disclosure Document for CM & FO Segments	M	7-8-9-10
7	Guidance Note - Do's and Don'ts for Investors	M	10-11
8	Policies & Procedures of AGSSL	M	11-12-13-14
9	Running Account Authorization	V	15
10	Oral Order Acceptance Authorization	V	15
11	Demat Account Opening Form	M	16-17-18
12	Rights & Obligations of DP	M	19-20
13	Authorization to Debit Charges of Demat A/c	V	20
14	Standing Instructions for Auto-Pledge Confirmation	V	20
15	Demat Plan Tariff Sheet & Declaration for common Mobile No. & E-mail ID	M	21
16	Trading A/c Tariff Sheet	M	22
17	Standing Intructions	V	23
18	Client Risk Profiling	M	23
19	Self Declaration of Networth	M	24
20	FATCA/CRS & Client Defaulter Declaration	M	25
21	DDPI Nomination and non opted nomination	M	26-27-28-29



A.G. SHARES & SECURITIES LIMITED

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.	MEMBER ID	DATE
NSE	Cash	INZ000169733	08257	21-03-2018
NSE	F&O	INZ000169733	08257	21-03-2018
BSE	Cash	INZ000169733	6597	21-03-2018
BSE	F&O	INZ000169733	6597	21-03-2018
BSE	Currency	INZ000169733	6597	21-03-2018
MCX	Commodity	INZ000169733	40345	21-03-2018
NSDL	Depository Participant	IN-DP-493-2020	IN301006	25-06-1999
CDSL	Depository Participant	IN-DP-493-2020	12098400	19-06-2023

Registered Office Address:

Shop No.:-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002
Website: www.agssl.in

Corporate Address :

Block No. 20/4, 1st Floor Maruti Tower Sanjay Place, Agra-282002
Phone: 0562-4028900,
E-mail Id : info@agssl.in

Compliance Officer Details(Trading)

Name : Krishna Kumar Tiwari
Phone No. : +0562-4028928
Email id : compliance@agssl.in

Compliance Officer Details (DP) :

Name : Krishna Kumar Tiwari
Phone No. : +0562-4028928
Email id : compliance@agssl.in

Managing Director Details

Name : Ajay Kumar Agarwal
Phone No. : +0562-4028900
Email id : ajayagarwal@agssl.in

For any grievance/dispute please contact stock broker A.G. SHARES & SECURITIES LTD. at the above address Block 20/4, Ist Floor, Maruti Tower, Sanjay Place, Agra – 282 002. email id info@agssl.in and Phone No. 0562-4028900. In case not satisfied with response, please contact the concerned exchange(s) at:

Exchange Name	Email ID	Phone No.
NSE	ignse@nse.co.in	+91-22-26598190
BSE	is@bseindia.com	+91-22-22721233/34
NSDL	relations@nsdl.co.in	+91-22-24994200
MCX	grievance@mcxindia.com	+91-22-66494070

Procedure for Filing of complaints on SCORES – Easy & quick

- Register on SCORES portal
- Mandatory details for filing complaints on SCORES: i. Name, PAN, Address, Mobile Number, Email
- Benefits: i. Effective communication ii. Speedy redressal of the grievance

Know Your Client (KYC) APPLICATION FORM (FOR INDIVIDUALS ONLY)

Please fill in ENGLISH and in BLOCK LETTERS



Application Type ☐ New KYC ☐ Modification KYC

Application No.:

KYC Mode ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

Identity Details

Name of Applicant			
Father's/Spouse Name			
Mother's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married
Date of Birth	DD / MM / YYYY	Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other
PAN No.		Aadhaar No.	XXXX XXXX
Proof of Identity submitted		<input type="checkbox"/> Aadhaar Card <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> NPR <input type="checkbox"/> Other _____	
Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin* <small>(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)</small>		

PHOTOGRAPH

Please affix the recent passport size photograph and sign across it

Address Details

A. Correspondence Address					
City/Town/Village		PIN Code		State	Country
Address Type	<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified				
B. Permanent Address (if different from above correspondence address)					
City/Town/Village		PIN Code		State	Country
Address Type	<input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified				

Proof of address to be submitted

<input type="checkbox"/> Passport	<input type="checkbox"/> Ration Card	<input type="checkbox"/> Registered Lease /Sale Agreement of Residence	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> Voter Identity Card
<input type="checkbox"/> Aadhaar	<input type="checkbox"/> * Latest Telephone Bill (only Land line)	<input type="checkbox"/> * Latest Electricity Bill	<input type="checkbox"/> * Latest Bank A/c Statement / Passbook	
<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> NPR Letter	<input type="checkbox"/> Other (please specify) _____	* Not more than 2 Months old.	

Contact Details

Email id		Mobile No.		Tel. (Res./ Off.)	
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APPLICANT DECLARATION

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Place:

Date:

Applicant e-SIGN

Applicant Wet Signature

FOR OFFICE USE ONLY

In-Person Verification (IPV) carried out by				Intermediary Details		Institution Name and Stamp
Employee Details	IPV Date	DD / MM / YYYY		<input type="checkbox"/> Self certified document copies received (OVD)		
	Name			<input type="checkbox"/> True Copies of documents received (Attested)		
	Code	Designation		AMC / Intermediary Name		
	Sign					

Trading Account Related Details

Gross Annual Income Details	(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 Lac OR Net-worth in . (*Net worth should not be older than 1 year) as on (date) <input type="text"/>
Occupation	(Please tick (✓)any one and give brief details): <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector Service <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other(Please specify)
Please tick,if applicable	<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed person For definition of PEP, please refer to Instructions/Checklist for filling KYC Form
Any Other Information	

Bank Account(s) Details of Sole/First Holder for Demat & Trading

Bank Name	<input type="text"/>																
Branch Name	<input type="text"/>																
Branch Address	<input type="text"/>																
Bank A/c No.	<input type="text"/>																
A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others <input type="text"/>																
	In case of NRI : <input type="checkbox"/> NRE <input type="checkbox"/> NRO																
MICR Number	<input type="text"/>								IFSC Code	<input type="text"/>							
UPI ID (for IPO)	<input type="text"/>																

Past Actions

Details of any action/proceedings initiated/pending/taken by sebi/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 :

Depository Account Details (DP 1 Details Considered for Payout of Securities if Filled)

	DP 1 Details	DP 2 Details
Depository	<input checked="" type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP Name	A G Shares & Securities Ltd.	
Client Name		
DP ID	IN301006	Client ID <input type="text"/>
		DP ID <input type="text"/> Client ID <input type="text"/>

Trading Preferences

(*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.)
I/We wish to trade in the following segment/exchange :

	Cash	F&O	Currency derivative	Commodity derivative
NSE	Client Signature ✕	Client Signature ✕	Client Signature ✕	Client Signature ✕
BSE	Client Signature ✕	Client Signature ✕	Client Signature ✕	Client Signature ✕

Dealing Through Authorized Person and Other Stock Brokers

Whether Dealing with Any Other Authorized Person (In case Dealing with Multiple Authorized Person, Provide Details of all)

Name of Stock broker	Name of authorized person, if any	Client Code	Exchange	Details of Dispute/Dues/Pending from to such stock broker/Sub broker

ADDITIONAL DETAILS Whether you wish to receive Physical Contract Note / Electronic Contract Note (ECN)

Contract Note & Margin Statement	<input type="checkbox"/> Physical Contract Note	<input type="checkbox"/> Electronic Contract Note (ECN)
A/c or Ledger Statement	<input type="checkbox"/> Physical Statement	<input type="checkbox"/> E-Mail Statement
Specify your Email id, if applicable ;		

Number of Years of Investment/Trading Experience _____ Any Other Information _____


Client Signature	AP/Introducer Stamp & Signature
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Anti Money Laundering (Customer Due Diligence Clause)

- 1.** The sub-broker must ensure that sufficient information about the client has been furnished. This is required to identify who is the actual beneficial owner of the securities transaction or for whom and/or on whose behalf transaction is conducted.
 - a.** The Trading Member may adopt such policies or resort to such measure as to establish the credentials of the client database submitted.
 - b.** Periodically, as and when the trade volumes are inordinately high and profits/loss are not in sync with the financial status of the client, the member reserves the right to probe the source from which the client is receiving funds to carry on the trade. If the source of funds is proved to be questionable, the client will be disabled from carrying on further trade and this agreement becomes void.
- 2.** In true spirit of agreement, the trading member believes that every transaction done by the client is genuine. If any discrepancy is noticed in the transaction at any point of time, the management has every right to take preventive/corrective measures, which include sending confidential reports to authorities. If the same trading pattern continues even after sufficient advice has been given to the client, the client runs the risk of closing the trading right forthwith or any other measure that the authorities may initiate.

KYC – NORMS

1. The client must furnish all required information such as financial statements, client ledger etc.
2. It is the duty of the client to inform change in residential address with documentary evidence.
3. The updated financial statement must be submitted by the client periodically to the Trading Member.
4. Besides the information submitted in KYC form, any other information relevant and pertinent to the letter and spirit of the KYC form may be gathered from the client. The client has to furnish such details as are required when called upon to do so.

Member	Authorized Person	Client Signature
STAMP & SIGN.	STAMP & SIGN.	 SIGNATURE

Undertaking for STWT Functionality (Voluntary)

To,
A.G.Shares & Securities Ltd.
Shop No.1,20/4,Maruti Tower
Sanjay Place,Agra-282002Agra -282002

Sub: Request for activation of Mobile Trading Facility (STWT) _____

Dear Sir,
Kindly activate Mobile trading facility on all active segments for my Trading Client Code _____.I further undertake to keep my Mobile Trading User id & Password as secret for use by me only and I shall be solely responsible for leakage of User ID and Password to any other reason and consequent wilful or otherwise use of my Mobile Trading Id by any other person and further I shall be solely responsible and liable for the associated and collateral consequence/damages etc.

E-mail id: _____
Mobile No. : _____

✕

Client Signature

Option Form for issue of DIS Booklet - Voluntary

To,
A.G.Shares & Securities Ltd.
Shop No.1,20/4,Maruti Tower
Sanjay Place,Agra-282002AAgra -282002.
Dear Sir,

Date :

DP ID	IN301006
Beneficiary ID	

I/We hereby state that: (select one of the option given below)

- ☐ Option 1
I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our NSDL account though, I/We have issued a DDPI in favor of A.G.Shares & securities Ltd. for executing delivery instructions for settling stock exchange, trades (Settlement related transactions) effected through such Clearing Member.
- ☐ Option 2
I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a DDPI in favor of A.G.Shares & Securities Ltd.for executing delivery instructions for selling stock exchange trades (Settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us on my/our request at any later date as per DP Policy & Procedures.

✕

Client Signature

For Office Use Only

UCC Code allotted to the Client: _____

Employee/Channel Partner Detail	Document Verified with Original	Client Interviewed By	In-Person Verification done by
Name			
Code			
Designation			
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', traffic 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.

WE ACCEPT
For A.G. Shares and Securities Ltd

(Authorized Signatory)
Date:

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings of the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/Securities and Exchange Board of India (SEBI) and circulars/notices issued by there under from time to time. 2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under the Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time. 3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker. 4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided. 5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts. 6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s). **CLIENT INFORMATION:** 7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting deals, made mandatory by stock exchanges/SEBI from time to time. 8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client. 9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and there; including the information on winding up petition/insolvency petition or any litigation which may be have material bearing on his capacity. The client shall provide/update the financial information to the stock broker n a periodic basis. 10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any persons/authority expect as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client. **MARGINS:** 11. The client shall pay applicable initial margins, withholding margins, special margins or such other margin as are considered necessary by the stock broker of the Exchange or as may be directed by SEBI from time to time as applicable to the segments(s) in which the client traders. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even through not required by the Exchange Clearing House/Clearing Corporation of SEBI) and the client shall be obliged to pay such margins within the stipulated time. 12. The client understand that payment of margins by the client does not necessary imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contact may dictate/require. **TRANSACTIONS AND SETTLEMENTS:** 13. The client shall given any order for buy or sell of a security/derivatives contact in writing in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trade of the client, only in the Unique Client Code assigned to the client. 14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed. 15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notice of Exchange. 16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s). 17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued there under of the Exchange where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued there under. **BROKERAGE:** 18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not be charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI. **LIQUIDATION AND CLOSE OUT OF POSITION:** 19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands, that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out if any, against the client's liabilities/obligations. Any, and all loses and financial charges on account of such liquidations/closing-out shall be charged to be borne by the client. 20. In the event of death or insolvency of the client or his/its otherwise become incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note the transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir. 21. The stock broker shall being to the notice of the relevant Exchange the information about Default in payment /delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoters(s)/Partners(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s). **DISPUTE RESOLUTION:** 22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI. 23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bed delivery, etc.



Client Signature

24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time. **25.** The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings. **26.** The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker. **TERMINATION OF RELATIONSHIP: 27.** This relationship between the stock broker and the client shall be terminated; if the stock broker for any, reason ceases to be a member of the stock exchanges including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the board. **28.** The stock, broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respected transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors as the case may be. **29.** In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, of any reason whatsoever, the client shall be informed to such termination and the client shall be deemed to the direct client of the stock broker and all clauses in the 'Right and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month. **ADDITIONAL RIGHTS AND OBLIGATIONS: 30.** The stock broker shall ensure due protection to the client regarding client's right to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may be had transactions in securities. **31.** The stock broker and client shall reconcile and settle their accounts from time to time as per Rules, Regulations, By Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed. **32.** The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investor within one working day of the execution of the trade in hard copy and/or in electronic form using digital signature. **33.** The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where he trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed. **34.** The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed from the receipt there of to the Stock broker. **35.** The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities. **36.** The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings here under. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such truncation being entered into. **ELECTRONIC CONTRACT NOTE (ECN): 37.** In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to see the stock broker. The client shall communicate to the stock broker any change, in the e-mail id through a physical letter. If the client has opted for internal trading, the request for change of email id may be made through the secured access by way of client specific user id and password. **38.** The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamper able. **39.** The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client. **40.** The stock broker shall retain ECN and acknowledgment of the e-mail in a soft and non-tamper able from in the manner prescribed by the exchange in compliance with the previous of the IT Act, 2000 and as per the extant rules/regulations/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are no delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mail by him at all time within the stipulated time period under the extant regulations of SEBI/stock exchanges.**41.** The stock broker shall continue to send contact notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECN have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contact notes.**42.** In addition to the e-mail communication of the ECN to the client, the stock broker shall simultaneously public the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same. **LAW AND JURISDICTION: 43.** In addition of the specific rights set out in this document, the stock broker,



Client Signature

sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued there under or Rules and Regulations of SEBI. Kindly note that if there is any discrepancy in contract note/trades/transaction, client need to report trading stock broker AGSSL within seven days from the receipt of ECN or Trade confirmation SMS/ Call. After that it is treated as there is no any discrepancy and it is confirmed and agreed by client. Client needs to assure that he/she has read ECN and understood properly. **44.** The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notes issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time. **45.** The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award. **46.** Words and expressions which are used in this documents but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned there to in the Rules, Bye laws and Regulations and circulars/notices issued there under of the Exchanges/SEBI. **47.** All additional voluntary clauses/ document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/ SEBI. Any changes in such voluntary clauses/documents(s) need to be preceded by a notice of 15 days. Any changes in the right and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients. **48.** If the right and obligations of the parties here to are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the right and obligations of the parties mentioned in this document. **INTERNET & WIRESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (All the clauses mentioned in the 'Right and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned therein shall also be applicable).**

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

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Annexure - 5

Risk Disclosure Document for Capital Market and Derivatives Segments

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges. Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges / SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading. In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk. You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for

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someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequence and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing order for purchase and/or sale of a derivative contract being traded on Stock exchanges. It must be clearly understood you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the right and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guideline prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force time to time. Stock exchanges do not provide or support to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party passed on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same. In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS: 1.1 Risk of Higher Volatility: Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities / derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses. **1.2 Risk of Lower Liquidity:** Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all. **1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract. **1.3 Risk of Wider Spreads:** Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation. **1.4 Risk-reducing orders:** The placing of orders (e.g., “stop loss” orders, or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders. **1.4.1** A “market” order will be executed promptly, subject to availability of order on opposite side, without regards to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfies the order quantity on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract. **1.4.2** A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all. **1.4.3** A stop loss order is generally placed “away” from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order. **1.5 Risk of News Announcements:** News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1. BASIC RISKS: 1.1 Risk of Higher Volatility: Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities / derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses. **1.2 Risk of Lower Liquidity:** Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold.



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There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all. **1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract. **1.3 Risk of Wider Spreads:** Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation. **1.4 Risk-reducing orders:** The placing of orders (e.g., “stoop loss” orders, or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders. **1.4.1** A “market” order will be executed promptly, subject to availability of order on opposite side, without regards to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfies the order quantity on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract. **1.4.2** A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all. **1.4.3** A stop loss order is generally placed “away” from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order. **1.5 Risk of News Announcements:** News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract. **1.6 Risk Rumors:** Rumors about companies/currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be aware of and should desist from acting on rumors. **1.7 System Risk:** High volumes trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation. **1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations. **1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason. **1.8 System/Network Congestion:** Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch where not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions. **2.** As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features: **2.1 Effect of “Leverage” or “Gearing”:** In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibilities of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount. **A.** Futures trading involved daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day. **B.** If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such lose-outs. **C.** Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc. **D.** In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to up additional margins or reduce your positions. **E.** You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations. **2.2 Currency Specific Risks:** **1.** The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from currency denomination of the contract to another currency. **2.** Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency deregulated or fixed trading bands are widened. **3.** Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationship; trade fiscal, monetary, exchange control programs and policies of government foreign political



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and economic events and policies: change in national and international interest rates and inflation: currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses in such events. **2.3 Risk of Options Holders:** 1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. The risk reflects the nature of an option as a wasting assets with becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option. **2.** The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances. **2.4 Risk of Option Writers:** **1.** If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount. **2.** The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risk may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position. **3.** Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investor. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances. **3. TRADING THROUGH WIIRELESS TECHNOLOGY / SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:** Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology / smart order outing or any other technology should be brought to the notice of the client to be the stock broker. **4. GENERAL:** **4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contract through the mechanism provided by the Exchanges. **4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

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Annexure – 6

Guidance Note - Do’s and Don’ts for Trading on the Exchanges(s)
For Investors Before you Begin to Trade :

1. Ensure that you deal with only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com, www.bseindia.com and SEBI Website: www.sebi.gov.in **2.** Ensure that you fill the KYC from completely and strike off the blank fields in the KYC form. **3.** Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker. **4.** Ensure to read, understand and then right the voluntary clauses, if any agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent. **5.** Get a clear idea about all brokerage, commissions, fees and other charge levied by the broker on you for trading and the relevant provisions/guidelines specified by SEBI/Stock exchanges. **6.** Obtain a copy of all the documents executed by you from the stock broker free of charge. **7.** In case of you wish to execute Power of Attorney (DDPI) in favor of the Stock broker, to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in the regard. **TRANSACTIONS AND SETTLEMENTS:** **8.** The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers. **9.** Don't share internet trading account's password with anyone. **10.** Don't make any payment in cash to the stock broker. **11.** Make the payments by account payee cheque in favor of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity towards which bank/demat document such money or securities deposited and from which bank/demat account. **12.** Note the facility of Trade Verification is available on stock exchanges' websites, where details of trade and mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contact note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange. **13.** In case you have given specific authorization for maintaining running account, payout f funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions: **a)** Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time. **b)** The actual settlement of funds and securities shall be done by stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall sent to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any. **c)** On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may be also retain the funds expected to be required to meet derivatives margin obligations for next 5 Trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market. **d)** You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statements, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

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14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock Exchange. 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges. **IN CASE OF TERMINATION OF TRADING MEMBERSHIP:** 16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the “transactions executed on the trading system” of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents. 17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye laws and Regulations of the relevant Stock exchange where the trade was executed and the same of the Investors' Protection Fund in force from time to time. **DISPUTES/COMPLAINTS:** 18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange. 19. In case your issue/problems/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter of SEBI. 20. Note that all the stock brokers/sub-brokers have been mandated by SEBI to designate an e-email ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complains.

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Annexure – 7

Policies & Procedures of A.G.Shares & securities Ltd. (AGSSL)

1. Refusal of orders for penny/illiquid stock: AGSSL may from time to time limit (quantity/value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(es), the order being for securities which are not in the permitted list of the AGSSL/exchange/SEBI. Provided further that AGSSL may require compulsory settlement/advance payment of expected settlement value/delivery of securities for settlement prior to acceptance/placement of order(s) as well. The client agrees that the trade related losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone. AGSSL may require reconfirmation of orders, which are larger than that specified by AGSSL's Risk Management, and is also aware that AGSSL has the discretion to reject the execution of such orders based on its risk perception. AGSSL also reserves the right to publish its own list of illiquid/penny stocks. Such refusal by AGSSL to place orders in illiquid/penny stock shall not constitute violation of code of conduct prescribed by SEBI/Exchange for stock brokers. **2. Setting up of Client's Exposure Limits:** Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or AGSSL may close the existing position of a client. AGSSL may from time to time impose and vary limits on the orders that the client can place through AGSSL's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc). The client is aware and agrees that AGSSL may need to vary or reduce the limits or impose new limits urgently on the basis of the AGSSL's risk perception and other factors considered relevant by AGSSL including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposure etc.), and AGSSL may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that AGSSL shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the AGSSL's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that AGSSL may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through AGSSL trading system, or it may subject any order placed by the client to a review before its entry into the trading system and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by AGSSL/exchange/SEBI and any other reasons which AGSSL may deem appropriate in the circumstances. The client agrees that trade related losses, if any an account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone. AGSSL is required only to communicate/advise the parameters for the calculation of the margin/security requirements as rate(s)/percentage(s) of the dealing, through anyone or more approved means or methods such as post/speed post/courier/registered post/registered A.D./facsimile/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of AGSSL; by publishing/displaying it on the website of AGSSL/making it available as a download from the website of AGSSL; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so required, by radio broadcast/television broadcast/newspaper advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department/the courier company/ newspaper company and the e-mail/voice mail service provider and such other service providers shall be the agent of the client. Once parameters for margin/security requirements are so communicated, the client shall monitor his/her/its position (dealings/trades and valuation of security) on his/her/its own and provide the required/deficit margin/security forthwith as required from time to time. The client is not entitled to trade without adequate margin/security and that it shall be his/her/its responsibility to ascertain beforehand the margin/security requirements for his/her/its orders/trades/deals and to ensure that the required margin/security is made available to AGSSL in such form and manner as may be required by AGSSL. If the client's order is executed despite a shortfall in the available margin, the client shall make up the shortfall immediately. The client further agrees that he/she/it shall be responsible for all orders(including orders that may be executed without the required margin in the client's account) &/or any trade related claim/loss/damage arising out of the non availability/shortage of margin/security required by AGSSL &/or exchange &/or SEBI. AGSSL is entitled to vary the form (Le., the replacement of the margin/security in one form with the margin/security in any other form, say,

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Client Signature

in the form of funds instead of shares) &/or quantum &/or percentage of the margin &/or security required to be deposited/made available, from time to time. The margin/security deposited by the client with AGSSL are not eligible for any interest. AGSSL is entitled to include/appropriate any/all payout of funds &/or securities towards margin/security without requiring specific authorizations for each payout. AGSSL is entitled to transfer funds &/or securities from his account for one exchange &/or one segment of the exchange to his/her/its account for another exchange &/or another segment of the same exchange whenever applicable and found necessary by AGSSL. The client also agrees and authorize AGSSL to treat/adjust his/her/its margin/security lying in one exchange &/or one segment of the exchange/towards the margin/security/pay in requirements of another exchange &/or another segment of the exchange. AGSSL is entitled to disable/freeze the account &/or trading facility/any other service facility, if in the opinion of AGSSL, the client has committed a crime/fraud or has acted in contradiction of the Mandatory and Voluntary Client Registration Documents or/is likely to evade/violate any laws, rules, regulation, direction of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. Delayed payment charges/Imposition of penalty: The client agrees that any amount, which are overdue from the client towards trading or an account of any other trade related reason to the AGSSL will be charged with delayed payment charges at 2% per month or 24% per annum or such other rates as may be specified by AGSSL from time to time. The client agrees that AGSSL may impose fines/penalties at above rate for any orders/trades/deals/actions of the client which are contrary to the Mandatory and Voluntary Client Registration Documents/rules/regulations/bye laws of the exchange or any other law for the time being in force. Further where AGSSL has to pay any fine or bear any punishment from any authority in connection with/as a consequence of / in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client. The client agrees to pay AGSSL brokerage, commission, fees, all taxes, duties levies imposed by any authority including but not limited to the stock exchanges. The client agrees that he/she/it shall be liable for penal interest on T+1 basis. Any client's debit after T+2 day from the date of trading shall result in client's securities (either received as delivery or as collateral) being liquidated. The client shall have no right to plead or expect that his/her/its debit should be allowed to remain unpaid on an infinite basis as it is anyway subject to penalty rate. This delayed payment charges will be levied for the actual period for which the debit has remain unpaid/non cleared after it has become due. Any delay in payment of M2M loss on any segment shall also result in client's securities (either received as delivery in cash segment or as collateral) and also all such other collaterals of the client being liquidated by us, to the extent of such Mark-to-Market loss. Further all outstanding position of the client in all segment shall also be liable to be closed out in the market and costs, consequences, loss etc. if any arising out of such close-out shall be for client to bear. Further AGSSL shall be at liberty to prescribe such higher margin percentage at its own discretion for such defaulting clients. AGSSL. if it so desires, can also close the accounts both trading and demat of such defaulting clients.

4. Applicable Brokerage Rate: The client shall be subject to brokerage slab as agreed by client, evidenced by the client having duly signed the tariff sheet after mentioning the tariff rates therein.

5. The Right to sell client's securities or close client's positions, without giving notice to the client, an account/of non-payment of client's dues. (Limited to Margin/Settlement Obligations): AGSSL maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository accounts(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. AGSSL shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of AGSSL for meeting the pay in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages of the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as an account of auctions/square off/closing outs etc., shall be solely to the account of the client and the client agrees not to hold the AGSSL responsible for the same in any form or manner whatsoever. In case the payment of the margin/security is made by the client through a bank instrument, AGSSL shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the AGSSL. Where the margin/security is made available by way of securities or any other property, AGSSL is empowered to decline its acceptance as margin/security &/or to accept it at such reduced value as the AGSSL may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as AGSSL may deem fit in its absolute discretion. AGSSL has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares when Mark to Market (M2M) percentage reaches or crosses stipulated margin percentage mentioned on the margin sheet whichever is earlier. AGSSL will have sole discretion to referred stipulated margin or M2M percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the trade related losses based on actual executed prices. If in case open position (Le. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s). AGSSL is entitled to prescribe the date and time by which the margin/security is to be made available and AGSSL may refuse to accept any payments in any form after such deadline for margin/security expires. Notwithstanding anything to the contrary in the Mandatory and Voluntary Client Registration Documents or elsewhere, if the client fails to maintain or provide the required margin/fund security or to meet the funds/margins/securities pay in obligations for the orders/trades/deals of the client within the prescribed time and form, AGSSL shall have the right without any further notice or communication to the client to take any one or more of the following steps: **i)** To withhold any payout of funds/securities. **ii)** To withhold/disable the trading/dealing facility to the client. **iii)** To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which AGSSL may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are



Client Signature

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Client Signature

pending delivery/receipt. **iv)** To liquidate/Square off partially or fully the position of sale &/or purchase in anyone or more securities/contracts in such manner and at such rate which AGSSL may decide in its absolute discretion. **v)** To take any other steps which in the given circumstances, AGSSL may deem fit. The client agrees that the trade related loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by AGSSL, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by AGSSL. **6.6. Auction Policy** :As per the Exchange Settlement Norms the Pay in Obligation is paid in to the exchange. If Client fails to deliver the relevant securities, Auction of Securities will be arise. It could be internal Auction or Exchange Auction. There is different process for both cases. **Internal Auction:** As per the Exchange Settlement Norms the Pay in Obligation for securities are adjusted at Member level. It could be possible that within the member's client, there could be opposite positions in the same scrip, which then, necessitates the internal adjustment. The price of securities will be considered as highest price of the scrip prevailing in the NSE/BSE from the first day of the relevant trading shortage day till the day of closing out on the auction day whichever is higher. **Exchange Auction:** In case of default in security pay in by the Client and the shortage is at Exchange level, the member shall be procuring the price defaulting securities from the Exchange. The price of securities will be considered as provided by Exchange + 6% penalty and other statutory charges. (Above defined parameters are subject to change from time to time) **7. Conditions under which a client may not be allowed to take further position or AGSSL may close the existing position of a client:** Client may take exposure up to the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage or margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/non making of payment for their pay-in obligation/outstanding debts. **8. De-registering a client Notwithstanding anything to the contrary stated in the Mandatory and Voluntary Client Registration Documents AGSSL shall be entitled to terminate the Mandatory and Voluntary Client Registration Documents with immediate effect in any of the following circumstances:** **i)** If the action of the client are prima facie illegal/improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others. **ii)** If there is any commencement of a legal process against the Client under any law in force. **iii)** On the death/lunacy or other disability of the Client. **iv)** If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the client. **v)** If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company goes into liquidation or has a received appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking. **vi)** If the Client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership. **viii)** If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution. **viii)** If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security. **ix)** If there is reasonable apprehension that the Client is unable to pay its debts or Client has admitted its inability to pay its debts as they become payable. **x)** If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the stock broker. **xi)** If the Client is in breach of any term, condition or covenant of this Mandatory and Voluntary Client Registration Documents. However notwithstanding any termination of the Mandatory and Voluntary Client Registration Documents, all transactions made under/pursuant to this Mandatory and Voluntary Client Registration Documents and parties to this Mandatory and Voluntary Client Registration Documents submit to exclusive jurisdiction of courts of law at the place of execution of this Mandatory and Voluntary Client Registration Documents by Stock Broker. Client Acceptance of Policies and Procedures stated here in above: I/We have fully understood the same and do hereby sign the same. These policies and procedures may be amended/changed by the broker provided the change is informed to me/us with through anyone or more approved means or methods such as post/speed post/courier/registered post/registered AD/telegram/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of AGSSL; by publishing/displaying it on the website of AGSSL/making it available as a download from the website of AGSSL; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/newspapers advertisement etc; or any other approved suitable or applicable mode or manner by an advance notice of 15 days. I/We agree that the postal department/the courier company/newspaper company and the e-mail/voice mail service provider and such other service providers shall be my/our agent. These policies and Procedures shall always be read along with the Mandatory and Voluntary Client Registration Document and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and AGSSL before any court of law/judicial/adjudicating authority including arbitrator/mediator etc. In case of any dispute, jurisdiction will be Rajkot. **9. Temporarily suspending or closing client's account at Client's request** On the written request of the client, the client account can be suspended temporarily and can be re-activated on the written request of the client only. During suspension period, the market transaction will be prohibited. However client's pending settlement can take place. AGSSL can withhold the payout of client and suspend his trading account due to surveillance action or judicial or/and regulatory order/action requiring client suspension. On the written request of the client, the client account can be closed provided the client adheres to formalities for account closure including settlement of all dues in the account and closing of all open position. If the client wishes to again open a broking account then the client shall have to complete the KYC and account opening formalities once again. AGSSL also reserve rights to suspend client's account if client's PAN or UID has been asked for latest financial documents updates and client is not supporting for submission of the said documents. **10. Policy for Dormant Accounts:** A Trading Account (Irrespective whether having debit or credit balance) shall be classified as dormant account in case there are no transactions for a period in excess of 365 days from the last transaction date. A dormant account can be re-activated on receipt of a request for reactivation along with valid proof of identity or Client can also send mail from his/her registered email id.



Running Account Authorization Document (Voluntary)
(NON MANDATORY)

To,
A G A.G.Shares & Securities Ltd.
ShoShop No.1,1st floor,20/4,Maruti Tower
Sanjay Place,Agra-282002a-282002

Authorization to A.G.Shares & Securities Ltd .

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

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligations(s) of any segment(s) of any or all the Exchanges(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligations(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We reques you to settle my fund and securities account.
(Choose one option) ☐ Once in a calendar Month ☐ Once in every calendar Quarter. Except the funds given towards collaterals/margin in form of BG or FDR.
4. In case I/We have an outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. I/We confirm you that I can revoke the above mentioned authority at any time.
7. All accounts with credit balances of Rs. 10000/- or lesser shall be automatically retained and transfer of funds to the bank account shall not be made as per SEBI circular MIRSD/SE/Cir-19/2009 & Exchange Circular Nos. NSE/INSP/24849 & 20091204-7.
8. In case there is a debit balance in my/our account, you are authorized to sell at any point of time the shares/securities held by me/us or held on my/our behalf by you, at your sole discretion. Any profit or loss made on such transactions will be to my/our accounts as it would have occurred on normal purchase/sell made by me/us. I/We also agree to pay the balance amount, if any after deducting credit of sale of shares.
9. I/We understand and agree that no interest will be payable to me/us on the amounts of securities retained with you.
10. I/We further authorize you to set off/adjust any of my/our debit/s dues in any segments of any Exchange(s) with credit of any other segments(s) either Securities or Funds as opted by you.
11. The securities lying in client beneficiary account on my/our behalf and/or credit balances lying in my/our ledger account of any segments of any Exchange(s) can be considered as margin for any segment of any Exchange(s). Further, I/We give you rights to pledge securities held by me at any point of time to give me/us margin exposures without any prior intimation or consent from me/us.
12. This running account authorization would continue until it is revoked by me.

Date :	Client Name	Client Signature
		X

Oral Order Acceptance Authorization (Voluntary)

To,
A G SA.G.Shares & Securities Ltd.
Shop No.1,1st floor,20/4,Maruti Tower
Sanjay Place,Agra-282002

I/We being clients of AGSSL and trading on a real time basis through price discovery mechanism understand the dynamic nature of market and its risks. Many a times as a part of compliance dealing team ask us for full name, DOB, PAN No. or UID or other account related details to verify my genuineness on phone or in verbal. Hereby I/we authorize you to accept my/our oral/telephonic orders/trades and also execute the same in real time at market price and quantities without any delay as every time due to this verification process i/we might have to suffer with real time price factor. I/We would also make no claim on AGSSL for any loss of price/quantities/M2M for such order/trade executions.

Thanks.
Yours faithfully,

Date :	Client Name	Client Signature
		X




FORM 9
ACCOUNT OPENING FORM
(FOR INDIVIDUALS)

A.G.SHARES & SECURITIES LTD.(DP ID: IN301006) Block No.20/4, 1 st Floor, Maruti Tower, Sanjay Place Agra-282002 Ph. No. 8755501234 E-Mail – agssl@agssl.in					Client –ID (To be filled by Participant)															
I/We request you to open a depository account in my/our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>										Date		D	D	M	M	Y	Y	Y	Y	
A	Details of Account holder(s):																			
	Account holder(s)		Sole/ First Holder						Second Holder						Third Holder					
	Name																			
	PAN																			
	Occupation <i>(please tick any one and give brief details)</i>		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist		<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist							
			<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired							
			<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife		<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife		<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife							
			<input type="checkbox"/> Business		<input type="checkbox"/> Student		<input type="checkbox"/> Business		<input type="checkbox"/> Student		<input type="checkbox"/> Business		<input type="checkbox"/> Student							
<input type="checkbox"/> Professional			<input type="checkbox"/> Others (Please specify; _____)		<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify; _____)		<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify; _____)									
Brief details:																				
B	For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:																			
	a) Name								b) PAN											
C	Type of account																			
	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Foreign National <input type="checkbox"/> Margin <input type="checkbox"/> Others (Please specify)_____ <input type="checkbox"/> Promoter																			
D	Gross Annual Income Details																			
	Income Range per annum (please tick any one)																			
	<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"/> More than ` 25 lac														
E	In case of NRIs/ Foreign Nationals																			
	RBI Approval Reference Number																			
	RBI Approval date										D	D	M	M	Y	Y	Y	Y		
F	Bank details																			
	1		Bank account type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify)_____																	
	2		Bank Account Number																	
	3		Bank Name																	

	4	Branch Address												
			City/town/village				PIN Code							
			State				Country							
	5	MICR Code												
6	IFSC													
G	Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)													
H	Standing Instructions													
	1	I/We authorise you to receive credits automatically into my/our account.											<input type="checkbox"/> Yes	
													<input type="checkbox"/> No	
	2	Account to be operated through DDPI											<input type="checkbox"/> Yes	
													<input type="checkbox"/> No	
	3	SMS Alert facility: <i>[Mandatory if you are giving DDPI. Ensure that the mobile number is provided in the KYC Application Form]</i>												
		Sr. No.	Holder	Yes		No								
	1	Sole/First Holder	<input type="checkbox"/>		<input type="checkbox"/>									
	2	Second Holder	<input type="checkbox"/>		<input type="checkbox"/>									
	3	Third Holder	<input type="checkbox"/>		<input type="checkbox"/>									
	4	Mode of receiving Statement of Account [Tick any one]	<input type="checkbox"/> Physical Form											
			<input type="checkbox"/> Electronic Form <i>[Read Note 3 and ensure that email ID is provided in KYC Application Form].</i>											
	5	For Joint accounts, communication to be sent to (See Note 5)	<input type="checkbox"/> First holder <input type="checkbox"/> All joint account holders											
I)	Guardian Details (where sole holder is a minor): [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]													
	Guardian Name													
	PAN													
	Relationship of guardian with minor													
J	Nomination Option													
	<input type="checkbox"/> I/We wish to make a nomination. [Details are provided at FORM 10]							<input type="checkbox"/> I/We do not wish to make a nomination.						
K	Mode of Operations for Joint Accounts													
	<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder or survivor(s)													

Declaration

The rules and regulations of the Depository and Depository participant pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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 any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we maybe held liable for it. In case of nonresident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we further confirm having read/been explained and understood the contents of Right and obligation of the beneficial owner and depository participant/stock brokers & clients, risk Disclosure document, Policies & procedures, schedule of charges/Tariff sheet and acknowledge the receipt of copy of the same. I/we do hereby agree to be bound by such provision 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.

	Name(s) of holder(s)	Signature(s) of holder	Sign to be used for capturing
Sole / First Holder / Guardian (in case sole holder is minor)			
Second Holder			
Third Holder			

Notes:

1. All communication shall be sent at the address of the Sole / First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination are as below:
 - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - V. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
 - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
 - VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
 - IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
 - X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
 - XI. DP ID and client ID shall be provided where demat details is required to be provided.
4. For receiving Statement of Account in electronic Form:
 - (i) Client must ensure the confidentiality of Password of the email account. (ii) Client must promptly inform the participant if the email address has changed. (iii) Client may opt to terminate this facility by giving 10 days prior notice. Similarly participant may terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.

Rights and Obligations of Beneficial Owner and Depository Participant as Prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participant) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/ Guidelines issued there under, Bye laws and Business Rules/Operating Instructions issued but 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 regards. **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 Owners 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 DP and the Beneficial Owner as set out in the Traffic 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 charge/tariff agreed upon unless I have given a notice in writing or not less than thirty days of 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 Operation Instruction of the depositories. **Separate Accounts 9.** The DP shall open separate accounts in the name of each of the beneficial owner and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DO's own securities held in dematerialized form. **10.** The DP shall not facilitate the Beneficial Owner to create or permit and pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-laws/Operating Instructions/Business Rules of the Depositories. **Transfer of Securities 11.** The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner the DP shall maintain the original documents and the audit of such authorizations. **12.** The Beneficial Owner reserves the right to give standing instruction with regard to the crediting of securities in his demat account and the DP shall act according to such instructions. **Statement of account 13.** The DP shall provide statements of accounts to the beneficial owner in such form the manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/Depository in this regard. **14.** However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statements as and when there is a transaction in the account. **15.** The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participants shall be obliged to forward the statement of demat accounts in physical form. **16.** In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time. **Manner of Closure of Demat account 17.** The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing if not loss 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 Owners shall clear all charges 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 balance held. **18.** Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion. **Default in Payment of charges 19.** In event of Beneficial Owner committing default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default. **20.** In case of the Beneficial Owner has filed 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 Owners shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest if any. **Liability of the Depository 21.** As Per Section 16 of Depositories Act, 1996. **1.** Without prejudice to the provisions of any other law for the time being in force, any lose 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 shall have the right to recover the same from such participant **Freezing / Unfreezing of Accounts 22.** The Beneficial Owner may exercise the right to freeze / defreeze his / her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules. Operating Instructions. **23.** The DP or the Depository shall have the right to freeze / defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or regulator of court or any statutory authority. **Redressal of Investor grievance 24.** The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative 25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alternations thereto shall be forthwith communicated to the Participant. **Law and Jurisdiction 26.** In addition to the specific rights set out in this documents, the DP and the Beneficial owner shall be entitled to exercise any other rights with 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 of Regulations of SEBI. **27.** The Provisions of this documents shall always be subject to Government notification, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant Depository, where the Beneficial Owner maintains his/her account, that may be in force from time to time. **28.** The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-Laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner. **29.** Words and expressions which are used in this document but which are not defied herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI. **30.** Any changes in the right and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once. **31.** If the right and obligations of the parties hereto are altered by virtue of change(s) in Rules and regulations of SEBI or By-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

I/We _____ have received the aforesaid copy of Right & Obligations Statement for Demat Account.

Date	1 st Holder Signature	2 nd Holder Signature	3 rd Holder Signature
	X		

Authorization to Debit Charges of Demat Account (Voluntary)

To,
A G Shares & Securities Ltd
Shop No.1,First Floor , 20/4,Maruti Tower Sanjay Place ,
Agra-282002

I/We hereby authorize you to debit all charges in respect of the Demat Account _____ payable by me/us to my Trading Account No. _____. I/We hereby further authorize you to charge interest at the applicable rate in case of delay in payment.
I/We here undertake to remit the amount of debit plus the interest within 15 days of being notified about the same.
I/We also authorize you to exercise lien over my/our securities lying in Demat Account maintained by me/us till the dues are remitted in full by me/us.
I/We hereby undertake not to revoke this authority without your prior written approval. I/We specifically agree and confirm that any matter or issue arising hereunder shall be governed by and constructed exclusively in accordance with the Indian laws and shall be subject to the jurisdiction of the courts of Agra P only.
I/We hereby declare that the particulars given above are above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. I shall not hold you responsible. I/We hereby agree to discharge the responsible expected of me as a beneficiary account owner.

Thanking you,

Yours faitufully,

1 st Holder Signature	2 nd Holder Signature	3 rd Holder Signature
X		

Standing Instruction for Auto Pledge Confirmation by Pledgee (Voluntary)

To,
A G Shares & Securities Ltd
Shop No.1,First Floor , 20/4,Maruti Tower Sanjay Place ,
Agra-282002

With reference to my/our application for opening a depository account. I/We request you to enable my/our depository account having DP ID _____ & Client ID _____ with Flag "**Standing Instruction for Auto Pledge Confirmation**".
I/We have read and understood the SEBI guidelines on pledging of shares in dematerialized form as regulated by SEBI (Depositories and Participants) Regulations, 1996 and Depositories Act, 1996.

1 st Holder Signature	2 nd Holder Signature	3 rd Holder Signature
X		



A.G. SHARES & SECURITIES LTD.

DP - NSDL • DP ID - IN301006 • SEBI Regn. No.: IN-DP-493-2020

Registered Office Address: Shop No.:1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002 | Website: www.agssl.in

Corporate Address: Block No. 20/4, 1st Floor Maruti Tower Sanjay Place, Agra-282002

Phone: 0562-4028900 E-mail Id: info@agssl.in

Client ID _____

	NEW PLAN A	NEW PLAN B
SERVICE	CHARGES	CHARGES
Account Opening Charges	NIL	NIL
Account Maintenance (AMC)	₹ 2500/- Life Time	₹ 500/- Yearly
Dematerialization Charges	₹ 500/- per certificate (Min. ₹ 50/-) + ₹ 50/- Courier Charges	₹ 500/- per certificate (Min. ₹ 50/-) + ₹ 50/- Courier Charges
Market Transaction/Off Market Transaction (Per Transaction)		
Credit	NIL	NIL
Debit	0.075% of Value (Min ₹ 40/-)	0.075% of Value (Min ₹ 40/-)
Custody Charges	NIL	NIL
Instruction Booklet 'Upfront Charges	₹ 100/- per 10 leafs	₹ 100/- per 10 leafs
Rematerialization	₹ 200/- for 100 Securities or part thereof whichever higher	
Annual Maintenance Charges (IDeAS/Speed-e)	₹ 25/- Yearly	₹ 25/- Yearly
Pledge / Margin Pledge	₹ 40/- per ISIN (upto valuation ₹ 100000)and thereafter 0.05% per ISIN	
Choose Any One Plan	<input type="checkbox"/> NEW PLAN A	<input type="checkbox"/> NEW PLAN B

Notes: - D-mat request Form would be accepted against payment in Cheque/NEFT.

- Any additional statement would be charged @ ₹ 25/- upto Ten(10) pages and thereafter it would be charged extra @ ₹ 5/- Per Page.
- Demat account opening under BSDA facility is also available with us.
- Any other Services provided by DP which is not mentioned in above chart, would be charged extra.
- * Taxes and other government levies extra as applicable from time to time.
- Trading Account should also be opened in our Branch/Franchisee.
- The Outstanding dues will attract interest @ 24 p.a. (compounded) in case of NSDL account and Interest @ 0.99% per month in case of CDSL account

"as per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012, all clients who are willing to hold only one demat account as first holder and DP holding valuation will be maintained below Rs. 2 Lac. Is eligible to opt for BSDA(Basic Service Demat Account) subject to term and conditions mentioned by SEBI."

To opt BSDA scheme please sign a separate scheme sheet which can be obtained from our office."

☐ I/We wish to avail BSDA facility in my/our Demat Account.

Client Signature(s)



Sole/First Holder Name & Signature



Second Holder Name & Signature



Third Holder Name & Signature

TARIFF SHEET

Client Code : _____ Client Name : _____

CAPITAL MARKET SEGMENT

	NSE / BSE / MCX	
	in %age terms	Minimum ` (per share)
Intraday		
Delivery		
Trade to Trade		

FUTURES & OPTIONS SEGMENT

	FUTURES		OPTIONS
	in %age terms	Minimum ` (per lot)	` Per Lot
NSE			
BSE			

CURRENCY DERIVATIVES / COMMODITY SEGMENT

	in %age terms	Minimum ` (per lot)	` Per Lot
NSE			
BSE			
MCX			

* Transaction Charges, Service Tax/GST, STT, Stamp Duty, SEBI Fee, Other Govt. Levies are extra. One Time

Account Opening Charges (Rs.).....

Note : Dispatch of Contract Note : Through Ordinary Post Free. Through Courier Rs. 50/- In case of previous years duplicate printout Rs. 100/- per statement.

 _____
CLEARING MEMBER DETAILS

NSE Equity Derivatives, NSE Currency Derivatives & MCX Commodity Derivative Markets

Globe Derivatives and Securities Limited - SEBI Regn. No.: INZ000312637
 Regd. Office: 609, Ansal Bhawan, 16, K. G. Marg, Connaught Place, New Delhi-110 001

Standing Intructions

I/We authorize you to receive credits automatically into my/our account.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through DDPI	<input type="checkbox"/> Yes	<input type="checkbox"/> No
SMS Alert facility: Mandatory if you are giving DDPI, Ensure that the Mo No. is provided in the KYC Application Form	<input type="checkbox"/> Yes	<input type="checkbox"/> No
I/We wish to avail BSDA Account Facility	<input type="checkbox"/> Yes	<input type="checkbox"/> No

 1 st Holder Signature	2 nd Holder Signature	3 rd Holder Signature
---	----------------------------------	----------------------------------

Client Risk Profile

☐ A. LOW RISK ☐ B. MEDIUM RISK ☐ C. HIGH RISK

Client Due Diligence

1. Profession/Occupation of the client, If employed.
Name, address and telephone number of employed. _____
2. Educational back ground of the client. _____
3. Does the client have previous experiences of capital
Market activities? If yes, Place specify. _____
4. Has the client ever been convicted by a court
either for civil or criminal offence?
If yes, please specify. _____
5. How is the client know to us?
Please specify the reference, if any. _____
6. If the client is walk-in-client, please specify the client
As “walk-in-client”. _____
7. If a walk-in-client, how has the client heard to us?
Was it word of mouth or any other communication
Medium that put the client in knowledge about us?
Please specify. _____
8. Is client a Politically Exposed Person (PEP)? _____
9. Does the client belong to special. _____
10. General remark about the client. (If any) _____

<div>MEMBER STAMP & SIGN.</div>	<div>AUTHORIZED PERSON STAMP & SIGN.</div>
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Note: In case of Corporate client, the above due diligence should be done for each designate director.
Please use photocopies of the aforesaid format for furnishing the required information for each director.

Acknowledgement

Client Code

Demat Client ID

To, A G Shares & Securities Ltd

Date

Shop No.1, First Floor , 20/4 , Maruti Tower , Sanjay place, Agra-282002

This is with reference to my/our application for opening of demat a/c and/or trading a/c in equity/derivative /commodity/ currency segment i/we acknowledge the receipt of following documents. I/We further state and confirm that i/we have read and understood all the clauses of aforesaid documents. **1.** Duly executed copy of KYC. **2.** Rights & Obligations for trading & demat a/c. **3.** Risk disclosure document (RDD) for CM, FO, CD and Commodity segments. **4.** Guidance Note - Do's and Dont's for trading on the excahnge(s) for investors. **5.** AGSSL Tariff sheet containing various applicable charges for trading & demat services. **6.** Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009. **7.** General Terms & Conditions governing securities trading and broking services of AGSSL. **8.** Running account authorization, Mobile declaration & Client defaulter declaration **9.** DIS booklet for demat account. **10.** Copy of Power of **11.** Additional Attorney. (if executed)rights & obligations. **12.** Other voluntary documents executed by me/us in respect to trading and demat operations with AGSSL.

1 st Holder Name	2 nd Holder Name	3 rd Holder Name
 1 st Holder Signature	2 nd Holder Signature	3 rd Holder Signature

Self Declaration/Undertaking by Client (Voluntary)

To,
A G Shares & Securities Ltd.
Shop1, First Floor , 20/4 , Maruti Tower , Sanjay place,
Agra-282002

Date :

Dear Sir,
My self, _____ registered client of A G Shares & Securities Ltd with client code: _____ and Demat Client id _____. I, hereby undertake that Mr./Mrs./Miss/Ms _____ is authorized by me to place any order/s or trade/s on behalf of me in my trading account and he/she is my family member or person authorized by me and it is in my knowledge. I have authorized him/her to act on behalf of me. If any financial liabilities are arising I, will be liable for it to make payment to entity A G Shares & Securities Ltd I/We hereby bound with rules/regulation and by laws of exchange, SEBI and the company AGSSL. Sometimes due to my health/social responsibilities and work schedule/network issue from my side I may not be able to stay in touch with stock market/broker and to avoid loss in my absence I have authorized above personality to transact for me in my trading code. I hereby agree to fulfill KYC norms and comply with market regulator's norms. Further I hereby stated that above person is authorized by me in good faith and can act and trade in my trading account on behalf of me. Further I/We hereby declare that I/We are very well aware and informed about terms conditions and rules and by low of KYC registration.

Thanking you,

Yours Faithfully,

Signature

✕

Risk Responsibility in case of Connectivity Failure (Voluntary)

To,
A G Shares & Securities Ltd.,
Shop No.1, First Floor , 20/4 , Maruti Tower , Sanjay place, Agra-282002

Date :

Dear Sir,

Myself _____ having client code _____ with A G Shares & Securities Ltd and I understand the risk of connectivity failure at member level. Technical failure of connectivity is not under control of human efforts sometimes, so in case due to any connectivity interruption/failure, if my position/order/trades are not able to modify/punch on terminal or on any wireless trading applications, then in that case i have no rights to claim any real or virtual loss amount to stock broker A G Shares & Securities Ltd and i will be liable to clear all my dues (if any) from my own side only.

Thanking you,

Yours Faithfully,

Signature

✕

Self Declaration Letter of Networth Certificate (Voluntary)

To,
A G Shares & Securities Ltd.
Shop No. 1, First Floor , 20/4 , Maruti Tower , Sanjay place,
Agra-282002

This is to certify that Net Worth of _____ as on _____ (DATE) are as under further I/We hereby Certified the give details are best of my knowledge and true and correct.

Description	Amount	Description (Less)	Amount
Fixed Assets		Loans	
Investment		Other Liability	
Loans & Advances			
Inventories			
Deposits			
Cash & Bank Balance			
Total (A)		Total (B)	
Net Worth (A-B)			

I/We hereby confirm that above declaration is correct.

Name of the Client: _____

Date: _____ Place: _____

Client Signature

✕

FATCA / CRS Declaration / Self Certification for Individual

	First/Sole Holder	Second Holder (if any)	Third Holder (if any)
Client Code:			
Demat Account No.			
1.	Indicate () your Tax Residency / Citizenship / Nationality	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> U.S.A <input type="checkbox"/> Others
If ticked on Others and/or U.S.A, please provide all details under point no. 2,3,4,5 below:			
2.	Specify City and Country of Birth		
3.	Specify Country(ies) of Tax Residency / Citizenship / Nationality / Green Card holder, other than India		
4.	Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)		
5	Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Prize Money <input type="checkbox"/> Others

DECLARATION

I / We hereby declare, agree and confirm the following:

a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Patel Wealth Advisors Private Limited within 30 days, in case of any change in the above given status on a future date;

b) If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by Patel Wealth Advisors Private Limited to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/CRS norms are applicable or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;

c) If my / our Country of Birth is US, however, I / We declare that I/ We are not US Person, I / We shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self certification stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

<div><div></div><div>1st Holder Signature</div></div>	<div><div></div><div>2nd Holder Signature</div></div>	<div><div></div><div>3rd Holder Signature</div></div>
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What is FATCA / CRS?
The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

In order to implement FATCA and CRS norms in India, Patel Wealth Advisors Private Limited is required to implement procedures to identify U.S. account holders or other jurisdictions reportable accounts, perform due diligence and obtain documentary evidence wherever required and report details of such accounts to relevant tax authority.

US Person means: In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?
Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

Documents to be collected if Customer’s Country of birth is U.S. but declare that he/ she are not a U.S. person

- Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
- Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
- Self certification for stating reasons for not obtaining U.S. citizenship at birth.

Client Defaulter Declaration (Voluntary)

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful activities and I have not been declare a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

Client Signature













Demat Debit and Pledge Instruction ("DDPI")

I/We agree to the terms and purpose of this DDPI document between Mr./Ms. _____ (First Holder) _____ (Second holder) and _____ (Third holder); an individual/body of individuals/a sole proprietary concern/a partnership firm/a body corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act 2013, or any relevant Act or unregistered in nature; and A.G. Shares and Securities Limited (hereinafter referred to as "AGSSL"), a Company within the meaning of Companies Act, 2013 with its registered office at Block No.20/4, 1st Floor, Maruti Tower, Sanjay Place, Agra – 282002 ;

Whereas:

(a) I/We have established a business relationship with AGSSL to avail services w.r.t trading, investing & other services offered by AGSSL, having a **DP ID IN301006 & Client ID** _____ **DP NAME A.G. Shares & Securities Limited.**

(b) This DDPI document shall be in line with SEBI Circular no. SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022, as may be updated from time to time, & I agree to the below two points;

S.No	Purpose	Signature of Client		
		First Holder	Second Holder	Third Holder
1.	I/We agree and permit AGSSL to transfer any securities held in my beneficial owner account towards any Exchange (any SEBI Recognised Exchanges where AGSSL is a member) related deliveries / settlement obligations arising out of trades executed by me/us on the Exchanges through AGSSL;			
2.	I/We agree and confirm to allow pledging / re-pledging of securities in favour of AGSSL and the clearing member (CM) with whom AGSSL is a member of, for the purpose of meeting my/our margin requirements in connection with the trades executed by me/us on the Exchanges.			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4.	Tendering shares in open offers through Stock Exchange platforms			

CM BP ID	CM Name
IN556242 (NSE), IN665971 (BSE)	A.G. SHARES & SECURITIES LTD.

DP Name	DP ID	Depository	Beneficiary ID
A.G. SHARES & SECURITIES LTD.	IN301006	NSDL	10141208 (TM/CM –Client Securities Margin Pledge Account) 10004843 (NSE POOL) , 10123333 (BSE POOL), 10145898 (CUSPA Pledge)

Date :

Nomination Form

[Annexure A to SEBI circular no. SEBI/HO/MIRSD/MIRSD_RTAMB/P/CIR/2022/23 dated February 24, 2022 on Nomination for Eligible Trading and Demat Accounts]

M/s. A.G. SHARES AND SECURITIES LIMITED Shop No.1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra-282002 website: www.agssl.in Contact: 8755501234 E-mail : info@agssl.in										FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)														
Date	D	D	M	M	Y	Y	Y	Y	UCC/ DP ID	I	N						Client ID							
I/We wish to make a nomination. [As per details given below]																								
Nomination Details																								
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																								
Nomination can be made upto three nominees in the account.										Details of 1 st Nominee					Details of 2 nd Nominee					Details of 3 rd Nominee				
1	Name of the nominee(s) (Mr./Ms.)																							
2	Share of each Nominee		Equally <small>[If not equally, please specify percentage]</small>							%					%					%				
										Any odd lot after division shall be transferred to the first nominee mentioned in the form.														
3	Relationship With the Applicant (If Any)																							
4	Address of Nominee(s) City / Place: State & Country:																							
5	Mobile / Telephone No. of nominee(s) #																							
6	Email ID of nominee(s) #																							
7	Nominee Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature PAN <input type="checkbox"/> Aadhaar Saving Bank account no. Demat Account ID																							
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																								
8	Date of Birth {in case of minor nominee(s)}																							
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }																							
10	Address of Guardian(s)																							

	City / Place: State & Country:				
	PIN Code				
11	Mobile/ Telephone no. of Guardian #				
12	Email ID of Guardian #				
13	Relationship of Guardian with nominee				
14	Guardian Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Account no. Proof of Identity <input type="checkbox"/> Demat Account ID				
Name(s) of holder(s)					Signature(s) of holder*
Sole / First Holder (Mr./Ms.)					
Second Holder (Mr./Ms.)					
Third Holder (Mr./Ms.)					

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Name and Signature of Holder(s)*		
1. _____	2. _____	3. _____

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Declaration Form for opting out of nomination
[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To M/s. A.G. SHARES AND SECURITIES LIMITED Shop No.1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra-282002 website: www.agssl.in Contact: 8755501234, 8126050822 E-mail : info@agssl.in	Date	D	D	M	M	Y	Y	Y	Y
UCC/DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
Name and Signature of Holder(s)*									
<div style="display: flex; justify-content: space-between; margin-top: 20px;"> 1. _____ 2. _____ 3. _____ </div>									

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Most Important Terms and Conditions (MITC)

Annexure A

(For non-custodial settled trading accounts)

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

1 st Holder Name	2 nd Holder Name	3 rd Holder Name
 1 st Holder Signature	2 nd Holder Signature	3 rd Holder Signature

GROUP MEMBERSHIP

National Stock Exchange Ltd. (NSE)

Bombay Stock Exchange Ltd. (BSE)

Multi Commodity Exchange (MCX)

National Securities Depository Limited (NSDL)

Visit us at : www.agssl.in



A.G. Shares & Securities Ltd.

[Regd. Office : Shop No.:-1, 1st Floor, 20/4, Maruti Tower, Sanjay Place, Agra- 282002]

Correspondence Office : Block No. 20/4, 1st Floor Maruti Tower Sanjay Place,
Agra-282002

Phone: 0562-4028900

E-mail Id: info@agssl.in