

Name	CD EQUISEARCH PVT. LTD. <i>Members : National Stock Exchange Of India Ltd. (NSE) Bombay Stock Exchange Ltd. (BSE) MCX Stock Exchange Ltd. (MCX-SX)</i>		
Registered Office/ Correspondence Address	37, Shakespeare Sarani, 1st Floor, Kolkata-700 017 Ph. : 033-3027-3000/01/02, Fax : 033-22892557 Website : www.cdequi.com		
Corporate Office	10, Vaswani Mansion, 2nd Floor, Dinshaw Waccha Road Churchgate, Mumbai-400 020, India Tel. : +91 22 3355 0000, 66378445/6/7, Fax : +91 22 22832276 Website : www.cdequi.com		
SEBI Registration No.	Exchange-Segment	Registration No.	Date
	NSE-CM	INB-230781137	14-9-1995
	NSE-F&O	INF-230781137	26-3-2002
	NSE-CD	INE-230781135	20-9-2010
	BSE-CM	INB-010781133	13-1-1998
	BSE-F&O	INF-010781133	1-11-2004
	MCX-SX	INE-260781137	11-3-2010
Compliance Officer	JAYESH J VORA Tel. - 033-33550000, E-mail ID : jayesh.vora@cdequi.com		
CEO	PRANAY DESAI Tel. : 022-33550000 • E-mail ID : pranay.desai@cdequi.com		

For any grievance/dispute please contact **CD Equisearch Pvt. Ltd.** at the above address or email id **complaints@cdequi.com** and Phone no. **+91-33-3027-3000/01/02**

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

Exchange Contacts	NATIONAL STOCK EXCHANGE OF INDIA LTD. Tel No : (022) 2659 8190 • Email Id : ignse@nse.co.in
	BOMBAY STOCK EXCHANGE LTD. Tel No : (022) 2272 8097 • Email Id : is@bseindia.com
	MCX STOCK EXCHANGE LTD. Tel. No. : (022) 6731 8933 • Email Id : investorscomplaints@mcx-sx.com
	SECURITIES AND EXCHANGE BOARD OF INDIA Tel No : (022) 2644 9000 • Email Id : sebi@sebi.gov.in

DISCLOSURE INFORMATION

Sub: Disclosure of Proprietary Trading

To increase transparency in the dealings between us as a Trading Member and you as a Client we do hereby disclose that apart from Client based trading, we also do proprietary based trading (self account) in ALL SEGMENTS of ALL EXCHANGES in which we are members. You are requested to please take a note of the same

ACCOUNT OPENING KIT

I N D E X

S.No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	3-9
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	10-12
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	13-16
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	17-19
4	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	20
5	Policies and Procedures	Document describing significant policies and procedures of CD Equisearch Pvt. Ltd.	21-23
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	24

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Authority Letter for Running Account	It contains the authorization by the client to the Member to maintain running account of funds.	26
8.	Undertaking	It contains the Undertaking and the declaration to be given by the client for availing trading facility.	27
9.	Authority Letter for deposit of Securities/Funds towards Margin.	It contains authority given to the Member towards utilization of Margin deposited by the client.	28
10.	Adjustment of Balances in Family Accounts.	It contains the details of the client code of the family members and the authorization by them for the adjustment of outstanding balances in their account.	29
11.	Consent for transfer of Credit & Settlement for Intra/Inter Segment Inter Exchange.	It contains the consent of the client to authorize Member to make intra/inter Segment/ Exchange Adjustment of funds & Securities.	30
12.	Consent for Authorisation to Third Party	It contains the declaration for authorisation of Third Party to trade on behalf of the client.	30
13.	Declaration by HUF (In case the Client is HUF)	It contains the declaration given by the Karta & All Co-Parceners for the purpose of trading in securities.	31
14.	Declaration to be given by Guardian	It contains the declaration to be given by the guardian in case of account opening for minor.	32
15.	Declaration by Sole Proprietorship Firm	It contains the declaration given by the Sole Proprietor for the purpose of trading in securities	32
16.	Declaration by Partnership Firm. (In case the client is Partnership Firm)	It contains the declaration given by the Partners for the purpose of trading in securities	33
17.	Special Terms & Conditions (only for NRI clients)	It contains the Special terms and conditions of trade by NRI in Derivatives Contracts	34
18.	Format of NRI client code application	It contains the format of NRI client code application to be submitted by NRI to the Clearing Member.	34
19.	Banker's Certificate	It contains the confirmation of the Bank with respect to the identity and bank account of the client.	35

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/ judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. PROOF OF IDENTITY (POI): - *List of documents admissible as Proof of Identity:*

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. PROOF OF ADDRESS (POA): - *List of documents admissible as Proof of Address:*

*(*Documents having an expiry date should be valid on the date of submission.)*

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.

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

D. EXEMPTIONS/CLARIFICATIONS TO PAN

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

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

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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

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

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

KNOW YOUR CLIENT (KYC) APPLICATION FORM For Individuals

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

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

B. ADDRESS DETAILS

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

KNOW YOUR CLIENT (KYC) APPLICATION FORM For Non-Individuals

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant											
2. Date of incorporation (dd/mm/yyyy)						Place of incorporation					
3. Date of commencement of business (dd/mm/yyyy)											
4. a. PAN											
b. Registration No. (e.g. CIN)											
5. Status (please tick any one)	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Defense Establishment <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Others (please specify) _____										

B. ADDRESS DETAILS

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

C. OTHER DETAILS

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

DECLARATION

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

 _____

Name & Signature of the Authorised Signatory

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

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

Signature of the Authorised Signatory

Seal/Stamp of the intermediary

Date _____

FOR NON-INDIVIDUALS ONLY

Annexure A

Give Names & details of Promoter/Partners/Karta/Trustees & Wholetime-time director.

(1)
Name.....
Designation.....
Shareholding in percentage.....
Residential address.....
.....
PAN.....DIN.....
UID.....
Signature.....

(2)
Name.....
Designation.....
Shareholding in percentage.....
Residential address.....
.....
PAN.....DIN.....
UID.....
Signature.....

(3)
Name.....
Designation.....
Shareholding in percentage.....
Residential address.....
.....
PAN.....DIN.....
UID.....
Signature.....

(4)
Name.....
Designation.....
Shareholding in percentage.....
Residential address.....
.....
PAN.....DIN.....
UID.....
Signature.....

FOR NON-INDIVIDUALS ONLY

Annexure B

Names & Details of Authorised Person authorised to deal in securities on behalf of the company / firm / others.

(1)
Name.....
Designation.....
PAN.....
UID.....
Signature.....
Residential address.....
.....

(2)
Name.....
Designation.....
PAN.....
UID.....
Signature.....
Residential address.....
.....

(3)
Name.....
Designation.....
PAN.....
UID.....
Signature.....
Residential address.....
.....

(4)
Name.....
Designation.....
PAN.....
UID.....
Signature.....
Residential address.....
.....

UNDERTAKING TO MEET ANNUAL REQUIREMENTS

- We undertake that we will submit a certified copy of Annual balance sheet every before 30th November.
- We further undertake to submit the updated share holding pattern every year before 30th November.

TRADING ACCOUNT RELATED DETAILS (For Individuals & Non-Individuals)

A. BANK ACCOUNT DETAILS

	First Bank details	Second Bank details
Bank Name		
Branch		
Address		
Bank A/c No.		
A/c Type	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> Others-in-case of NRI/NRE/NRO	<input type="checkbox"/> SB <input type="checkbox"/> CA <input type="checkbox"/> Others-in-case of NRI/NRE/NRO
MICR No.		
IFSC Code		

B. DEPOSITORY ACCOUNT(S) DETAILS

	First Demat A/c details	Second Demat A/c details
DP Name		
DP	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
Beneficiary Name		
DP ID		
Beneficiary ID / BO ID		

C. TRADING PREFERENCE

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

1. NSE-CM	<input type="checkbox"/>	2. BSE-CM	<input type="checkbox"/>
NSE-F&O	<input type="checkbox"/>	BSE-F&O	<input type="checkbox"/>
NSE-CD	<input type="checkbox"/>	3. MCX-SX	<input type="checkbox"/>

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:	
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E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name			
SEBI Registration number			
Registered office address			Phone
			Website
Fax			

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

Name of stock broker			
Name of Sub-Broker, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub-broker			

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):
Specify your Email id, if applicable E-mail ID _____
- Whether you wish to avail of the facility of internet trading / wireless technology (please specify):
- Number of years of Investment / Trading Experience No Prior Experience
_____ Years in Cash Segment/Stock _____ Years in Derivatives _____ Years in any other investment related field
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company / firm / others : See Annexure B
- Any other information :

G. INTRODUCER DETAILS (optional)

Name of the Introducer	(Surname)	(Name)	(Middle Name)
Status of Introducer	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Existing Client	<input type="checkbox"/> Remisier <input type="checkbox"/> Other (please specify) _____	<input type="checkbox"/> Authorised Person
Address of the Introducer			
Signature of the Introducer		Phone No.	

H. NOMINATION DETAILS (for individuals only)

<input type="checkbox"/> I/We wish to nominate	<input type="checkbox"/> I/We do not wish to nominate	
Name of the Nominee	Date of Birth of Nominee	
Relationship with the Nominee	PAN of Nominee	
Address & ph. no. of the Nominee		
IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN		
Name of guardian		
Address of Guardian		
Signature of guardian	Phone No.	
WITNESSES (Only applicable in case the account holder has made nomination)		
Name _____	Signature _____	Address _____
Name _____	Signature _____	Address _____

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place _____

Date _____



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

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

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

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

.....
Signature of the Authorised Signatory

Seal/Stamp of Stock Broker

Date

INSTRUCTIONS / CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS
as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the NSE/BSE/MCX-SX as defined in the Rules, Byelaws and Regulations of NSE/BSE/MCX-SX/Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock NSE/BSE/MCX-SX/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
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 person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are

considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the NSE/BSE/MCX-SX 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 NSE/BSE/MCX-SX where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the NSE/BSE/MCX-SX and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock

broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the NSE/BSE/MCX-SX and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the NSE/BSE/MCX-SX where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and

conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

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

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI / NSE/BSE/MCX-SX 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/NSE/BSE/MCX-SX. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/NSE/BSE/MCX-SX.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the

contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/NSE/BSE/MCX-SX and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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



INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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



RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the NSE/BSE/MCX-SX. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the NSE/BSE/MCX-SX.

NSE/BSE/MCX-SX/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 NSE/BSE/MCX-SX /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

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

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

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

NSE/BSE/MCX-SX does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of NSE/BSE/MCX-SX and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly

understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

1.4.3 A stop loss order is generally placed “away” from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/g glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

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

2.1 Effect of “Leverage” or “Gearing”:

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

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

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

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 close-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 put 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 the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
- 3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

- 1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
- 2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

- 1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
- 2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
- 3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

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



Annexure - 6

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

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

statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

- c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the NSE/BSE/MCX-SX without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the NSE/BSE/MCX-SX.
 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 NSE/BSE/MCX-SX.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; NSE/BSE/MCX-SX 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 NSE/BSE/MCX-SX 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 NSE/BSE/MCX-SX where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

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

POLICIES & PROCEDURES

a. Refusal of Orders for penny stocks:

Penny stocks are low-priced shares of small companies which are traded infrequently. It may be difficult to sell penny stocks once you have them, as it is difficult to find quotations for penny stocks. Penny stocks include the equity securities of with no active trading market. CDE shall from time to time classify and publish on its website a list of securities which are illiquid as per the list of the securities notified on a periodic basis by the Stock Exchanges.

For Dealing in penny stock following procedures is being followed:

1. Authorization of the Senior Officer is to be taken if any client wants to invest in penny stocks.
2. The valid reason of the client to trade in penny stock is taken.
3. The financial position, background of the client is reviewed.

CDE reserves the right to refuse execution of any transaction requests of the client on such illiquid securities or to reduce the open market interests of the client in such securities. The order of a client shall be refused by the Member when it appears that:-

1. If the dealing amounts to manipulation of the price of the security.
2. If the dealing creates false or misleading appearance of trading in the securities market.
3. If the dealing in the security is not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of the penny stock for wrongful gain or avoidance of loss and CDE shall not be responsible for any consequential opportunity loss or financial loss that a client may incur from delay or non execution of orders in penny stock.

b. Setting up client's exposure limits:

CDE shall be entitled to sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of funds/securities/bank guarantees fixed deposit receipts. Client exposure is settled on the basis of financial soundness (such as high, medium or low net worth client), turnover position of the client, integrity and past conduct of the client. CDE follow the trading limit given by the Exchange for intra-day trading based on the base minimum and additional capital. In F&O segment exposure is given on the value of initial margin, after applying appropriate hair cut on the securities given as collateral. The exposure limit may be changed based on the volatility in the market and quality of collaterals. CDE shall from time to time

publish a list of securities which would be acceptable as collateral/margin. CDE officials, directors, employees shall in any circumstances are not liable for any kind of loss arising from any variation or reduction of exposure or turnover limits.

There are two types of exposures:

1. **Gross Exposure:-** Gross Exposure is calculated considering clients open positions and pending positions. On every order entry Gross Exposure is increased and on trade confirmation Gross Exposure is decreased.
2. **Net Exposure:-** When a trade confirmation is received then Clients Net Exposure is calculated based on the amount, which is traded. Net Exposure is increased on Trade Confirmation but if a Square off order gets traded then Net Exposure is decreased.

c. Applicable Brokerage Rate:

CD Equisearch (P) Ltd (CDE) shall levy brokerage for the client 's transactions as per the brokerage slabs mutually agreed with the Client in writing in the Client Registration Form subject to the maximum rate prescribed by the Stock Exchanges/SEBI.

The Brokerage amount debited to the Client does not include any exchange related charges or statutory levies as applicable. The Client shall pay such fees, all costs, expenses, damages, losses, interest charges, Service Tax, Stamp Charges, Transaction Charges, account opening charges, ODIN charges and other charges and commissions as may be notified by CDE from time to time depending upon the services availed by the Client.

The brokerage slab of the client shall be reviewed at intervals after assessment of the amount and quality of volume generated by the client as per his commitment. The brokerage rate may be revised from time to time after intimation to the client of the revised rates and the date on and from which the revised rates shall take effect at the Email address or postal address of the client registered with CDE.

CDE may debit to the client account any charges incurred by it in connection with settlement transactions in funds and securities and the Client hereby authorizes CDE to do the same.

d. Imposition of penalty/delayed payment charges

In the event if the client defaults in meeting its obligations towards required margin, any outstanding settlement /or obligations and/or any other dues payable to the company within the time stipulated by the Exchanges or the Company (whichever is earlier) the Company shall have absolute

discretion to charge and recover from clients' account the delayed payments, maximum of 2 % p.m. till the dues are settled.

e. The right to sell client's securities or close client's positions, without giving notice to the client, on account of nonpayment of client's dues

Without prejudice to its other rights and remedies available under the member client agreement(s) executed/to be executed by and between the client and CD Equisearch (hereinafter referred to as the Agreement) or at law CDE shall be entitled, in its sole and absolute discretion, to liquidate/close out all or any of the client's open/outstanding position, sell the client's securities in the following circumstances:

1. "If the client fails to pay any margin, settlement obligations and /or other liabilities (including but not limited to DP charges) due to CDE within the stipulated time frame.
2. "In the event that the market value of the client's securities, lying as margin or bought by the client for which payment is not made by the client, for any reason fall or is anticipated to fall ,or circumstances arise or are likely to arise which may in the sole opinion of CDE jeopardize its interest and expose it or is likely to expose it to any financial loss or damage.

Any and all losses (actual or notional), financial charges, damages on account of such liquidation/sell/closing-out shall be borne by the client only.

f. Shortages in obligations arising out of internal netting of trades:

CDE has the following policy for settling transaction, which remains unsettled due to Internal shortages:

Internal shortages means one of the client has failed to give the delivery of the securities sold, which has resulted into short delivery to other client(s) of CDE. The transactions, which remain unsettled due to the Internal shortage of securities, shall be closed out as follows:

For securities, which are part of NIFTY or Sensex/Indices or traded in NSE Derivatives segment The transaction will be closed out at 10% above the market rate or the closing rate of the security from trade date to T+2 day i.e. the auction day, whichever is higher

Accordingly, if a client fails to give the delivery of the securities sold, which if resulted into Internal shortage such client will be debited for the transaction at the rates prescribed above. Similarly, if CDE is unable to give the delivery of the securities bought by any client due to the Internal shortage, such client will receive the credit for the transaction at the rates prescribed above.

g. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

A client is not allowed to take further position or the existing position of a client is closed on account of any of the following conditions:

- If the ledger of a client shows continuous debit balances.
- Failure by the client in providing sufficient/ adequate margin(s) and /or insufficient/ inadequate free credit balance available in client's broking account with CDE.
- If the client fails to maintain the requisite margin in such form and manner as may be specified by CDE from time to time.
- Settlement obligations are not paid by the client within the time frame allowed by the Exchanges or as per the norms specified by CDE from time to time as its sole and absolute discretion.
- Securities falling in the category of Penny Stocks / Illiquid Stocks / Contract / Options as described in policy (a) as above.
- Trades which apparently in the sole and absolute discretion of CDE seems to be Synchronized trades/ Circular Trading /Artificial trading / manipulative in nature etc.;
- Securities / F&O contracts banned by the regulatory authorities.
- Any ban imposed on the client by the regulatory authorities.

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

The account of the client shall be suspended/ closed on receipt of written request from the client specifying the reasons to close the account. Prior to submission of such request the client should ensure that all amount due and payable to CDE are paid.

i. Deregistration of a client:

Without prejudice to CDE's rights and remedies available under the Agreement, CDE may forthwith as its sole and absolute discretion, de-register the client with/without prior notice / intimation in the following circumstances:

- Where the client indulges in any irregular trading activities like synchronized trading, price manipulation. trading in illiquid securities/options/contracts, self trades, trading in securities at prices significantly away from market prices etc.,
- Any enquiry/investigation is initiated by the Exchange/ regulators against the client.
- Any regulatory action taken /initiated against the client

by the Exchange /regulators including but not limited to debarring the client from accessing the capital market.

- Where the name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges (where no information other than name is available)
- Name of the client appears in database /websites of CBIL, Watch Out Investors, World Check etc.,
- The client having suspicious background or link with suspicious organization
- Where the client is non- traceable, has pending disputes with CDE, possibility of a default by the client.,
- Any other circumstances leading to a breach of confidence in the client for reasons like return of undelivered couriers citing reason of “ No such person/ Addressee left / Refusal to accept mails, etc.,” continuous cheque bouncing, or not furnishing the financial and other details as may be called for by CDE from time to time etc.,
- Upon receipt of written information about the death of the client
- Such other circumstances which in the sole opinion of CDE warrants to de-register the client. In all such cases, CDE shall have the right to close out the existing open positions /contracts sell/liquidate the margin (in any form) to recover its dues, if any before de-registering the client. Any action taken by CDE in terms of this policy shall not be challenged by the client, and CDE shall not be liable to the client for any loss or damage (actual/ notional), which may be caused the client as a result. . Also while de-registering the client, CDE may retain certain amount / securities due/belonging to the client for meeting any future loses, liability, penalties, etc arising out of the dealing of the client with CDE. In case if any securities retained by CDE is sold / liquidated to recover any such losses, liability, penalties etc CDE shall have the sole authority to decide the mode, manner and the price at which to effect the sale of securities and the client cannot raise any dispute as to the mode, manner and the price at which securities are sold by CDE. In any of the above circumstances, if the client is able to justify his/her/its innocence either by producing any record, document or otherwise to the full satisfaction of CDE, CDE may reconsider its decision of de-registering the client. However in no circumstances any action taken by CDE till the date of registration shall be challenged by the client and CDE shall not be liable to the client for any loss or damage (actual/ notional), which may be caused to the client as a result.

j. Policy for Dormant/Inactive Account:

When no transactions have taken place in client account during the last 12 months from the date of last transaction, it will be considered as dormant/in-active account. Any surplus funds or securities of the Dormant/Inactive Account shall be refunded/ returned to clients immediately on demand by the clients. A client account will be re-activated only on the receipt of the request letter from the client for the reactivation of his/her/their account along with necessary documentary proof in case of any change in the details registered with us and the deposit of margin by the client as per the requirement of the

Client Acceptance of Policies and Procedures stated herein above

I have read and understood the policies and procedures described in this above schedule and agree to be bound by the same.



Tariff Sheet

(Service Tax, Stamp Charges, Transaction Charges and other charges , if any shall be levied as per the rate stipulated by concerned Authority)

Segment	Trading : 1st Leg		Trading : 2nd Leg		Delivery	
	Minimum		Minimum		Minimum	
	%	Paisa	%	Paisa	%	Paisa
BSE Cash						
NSE Cash						
NSE F&O						
NSE F&O Options (per lot)						
NSE-CD –Currency Future (Turnover Based)						
MCXSX-MCX Currency Future (Turnover Based)						

Notes :

1. Client will be charged Rs. 500/- as an account opening charges for the Equity Segment.
2. Client using Diet ODIN will be charged Rs. 500/- (inclusive of service tax) on monthly basis.

I/We have understood and accepted the Schedule of Charges as stated herein above.



ONLY FOR OFFICIAL USE

Approved by (Regional Head)

Name _____
(BM or CM/RM/SB/Dealer)

Name _____

Signature _____

Signature _____

Non-Mandatory

AUTHORITY LETTER FOR RUNNING ACCOUNT

OPTIONAL

To
CD Equisearch Pvt. Ltd.
37, Shakespeare Sarani
Kolkata- 700017

Ref.: Client Code No. :

Dear Sir,

With reference to my/our the trading account opened with CD Equisearch Pvt. Ltd. in the name Mr./Mrs./Ms.....
.....for the purposes of dealing in CM & Derivatives (Futures & Options and Currency) segments of National Stock Exchange of India Ltd. and/or Bombay Stock Exchange Ltd. and/or MCX Stock Exchange Ltd.

I/we confirm that I/we am/are desirous of regularly dealing in CM. & Derivatives (Futures & Options and Currency Segment) and have requested you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction on my/our behalf. I/we further request you to retain all amounts payable and securities receivable by me/us until specifically requested by me/us in writing to be settled or to be dealt within any other manner.

I/we understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.

We are also aware that each Trading Member / Clearing Member has to collect Upfront Margin / MTM Margin from their clients / constituents against their open position on Capital Market Segment and Derivatives Segment (Futures & Options and Currency).

I/We understand that I/We may revoke the above authorisation at any time and such revocation shall be made in writing. Unless otherwise consented by me the authority as given above will remain valid from the date of execution of this letter and is revokable by me at any time by giving a notice of 30 days in writing to you.

I / We also agree that the actual settlement of fund and securities shall be done by us at least once in a calendar quarter or month (Strike out non preference)



Signature of the Client

Name _____

Date

Place

UNDERTAKING

(OPTIONAL)

From:

Dated :

To

M/s. CD Equisearch Pvt. Ltd.,
37, Shakespeare Sarani, Kolkata - 700 017

Dear Sirs,

Re : Trading facility through your Company

I/We _____ would like to trade in securities in cash as well as in derivative segment through your NSE and/or BSE and/or MCX-SX terminals, do hereby declare as follows :

- 1) That all trades entered by me/us with M/s. CD Equisearch Pvt. Ltd. (CDE) on NSE and/or BSE and/or MCX-SX are for my/our personal and/or my family account(s).
- 2) I/We do not operate for any client and no contracts are issued by me/us.
- 3) I/We do hereby permit you to adjust/hold back any amount of funds and/or shares from our payout against margin and/or Security Deposit, against my/our positions as and when required. I/We understand that this amount will not attract any interest during the tenure.
- 4) I/We do hereby authorise you to adjust any amount lying at your end in any account in case of non-payment of any amount and/ or non-delivery of shares and/or any other default(s) by me/us.
- 5) I/We do hereby authorise you to keep / sell / pledge my / our shares purchased from you and the same can be adjusted against my / our outstanding amount payable to you.
- 6) I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone. I/We agree that orders, instructions and other communication given or made over the telephone may be routed through the Member's interactive voice response or other telephone system and may be recorded by the Member. I/We also agree that such recordings may be relied upon by the Member as and when required to resolve dispute in connection with the trading transactions and that such recording and the Member's records of any orders, instructions and communication given or made by me/us or the Member by electronic mail, fax, or other electronic means shall be admissible as evidence and shall be final and binding evidence of the same. I/We also undertake that in case I/We provide any instruction/instruction/communication/confirmation for the said orders on the telephone line other than the recorded lines specified by you, I/We shall be solely liable/ responsible for any consequences thereof, if any.
- 7) I/We authorise you that since all the transactions are being executed on T+2 basis in the Exchange and sometimes shares sold by us are directly deliverable by you out of shares pending to be delivered to me/us against my/our purchases in previous settlement(s), I/We hereby give my/our consent to inter transfer the shares directly from one settlement to another on my/our behalf. You are authorised to debit the charges in my/our client account levied by your depository for such inter transfer.
- 8) I/We authorise you to debit depository charges/delay payment charges to my/our accounts maintained in the books of the company for my/our transactions in capital market and/or derivative segment of NSE and/or BSE and/or MCX-SX.
- 9) I/We, do hereby declare that in case it is found by CDE that I/We am/are acting as an unregistered Sub-Broker it can immediately cancel my account with them and adjust all credit against my/our liabilities.
- 10) I / We hereby undertake to avail the trade verification facility for verifying details through registration on the website at <http://www.nseindia.com/tv> immediately after opening of account.

Thanking you,

Yours faithfully,



AUTHORITY LETTER FOR DEPOSIT OF SECURITIES/FUNDS TOWARDS MARGIN

(OPTIONAL)

To
CD Equisearch Pvt. Ltd.
37, Shakespeare Sarani
Kolkata - 700 017

Dated :

Dear Sirs,

Subject: Deposit of Securities/Funds towards Margin

I/we understand that the Member accepts deposit of securities towards "margin" for the purpose of allowing additional exposure/turnover as a specialized service which is optional in nature and this document has been signed by me/us voluntarily without any coercion or force. I/we also understand that I/we have a right to terminate this document, subject to termination of this facility and/or review of Member-Client relations by the Member.

I/we request and authorize you to consider the securities transferred by me/us or retained by you in any of your own DP account maintained for the purpose of margin or in my/our DP account No _____ with _____ (Name of DP) with the Power of Attorney executed in favour of the DP, at your discretion, as margin deposit for my/our operations in the secondary market.

In respect of the above margins, I/we also undertake and agree to the following :

1. That the above margins are subject to a first and paramount lien for any sum due to CD Equisearch (P) Limited by me/us for the due fulfillment of my/our engagements, obligations and liabilities arising out of or relating or incidental to any bargains, dealings, transactions and contracts made through or with you. I/we further agree that I/we shall create a lien on the shares and securities lying in my DP account towards any sum due to you.
2. That the margin paid above shall not be available for adjustment against any amount due from me/us to CD Equisearch (P) Limited, against my/our running trading account with you for secondary market obligations.
3. That no interest will be paid by CD Equisearch (P) Limited to me/us against the margin deposits. However, in case of securities transferred by me/us to your DP A/c given as margin, all benefits declared by the respective Companies, during the time that the securities are held by CD Equisearch (P) Limited towards margin deposit, shall accrue to me/us.
4. That CD Equisearch (P) Limited has a clear and undisputed right to dispose of the margin securities and adjust the proceeds or the cash margin provided towards overdue balances in my/our account, at my/our risk and cost, without any need for clearance or reference to me/us whatsoever.
5. That I/we, may be required to pay additional margins, by way of transfer of funds to CD Equisearch (P) Limited, like volatility, special margins, etc. levedid by the member or the Stock Exchanges from time to time.

Further, I/we have transferred the following funds to your account towards margin deposit for my/our operations in the secondary market

Deposit of funds (For funds inwarded as margin)

Date	Cheque No.	Amount (Rs.)	Drawn On	Remarks

Yours sincerely,



ADJUSTMENT OF BALANCES IN FAMILY ACCOUNTS
(OPTIONAL)

Dated :

To

CD Equisearch Pvt. Ltd.

37, Shakespeare Sarani, Kolkata - 700 017

Sirs,

Sr. No.	Client Code of All Family Member / Associate	Name of Family Constituent / Associate

We the above mentioned entities/constituents have been regularly trading and investing with you on the Stock Exchanges, NSE, BSE and MCX-SX. For the purpose of operations with you, we have agreed among ourselves to be treated collectively as a FAMILY of accounts, in order to facilitate operations.

We authorise you to accept and execute securities dealing orders placed by any of the aforesaid constituents for and on behalf of the other constituents in the FAMILY.

We hereby authorise you to set off the outstandings (including interest on delayed payment) in any of the above mentioned accounts against credits available or arising in any of the above accounts irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any Exchange and/or may pertain to the value of cash margin or against the value of sale proceeds of collateral shares provided to you by any constituent(s) of the family.

We are aware and have agreed and authorised the MEMBER to charge interest on net total debit balance of the FAMILY accounts, after appropriating the credit balance(s) in the FAMILY accounts. In case of NIL debit balance after setting off the credit balance against the debit balance, no interest shall be charged/payable by the MEMBER. We authorise the MEMBER to debit the above interest on the debit balance of the FAMILY, to the account irrespective of this account having a credit balance, and not charge the interest proportionately to each account.

We are aware and have agreed that the above interest on the net debit balance of the FAMILY account shall be calculated on daily product basis and charged on monthly basis to the account of the FAMILY for the purpose of calculating the margin requirements for granting the trading exposure limits.

We are aware and agree that the interest on debit balance as calculated above shall become due and payable on 31st March every year or in the event of the termination of the Member Client agreement of any of the constituent of the FAMILY, whichever is earlier.

We further authorise you to pay the net credit balance in the aforesaid FAMILY account to any constituent of the Family on demand, irrespective of the balance in such constituent's account held with you. We are aware that the payment of the said net credit balance shall be solely at your discretion.

In respect of the securities lent through you by anyone of us, we request you to consider the securities so lent as margin towards the trading exposure of any or all of the above mentioned accounts.

We agree to intimate you from time to time of any additions or deletions of CLIENTS to the said FAMILY. We agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all the accounts of the Clients belonging to the family.

In order to facilitate operations, we authorise the MEMBER to maintain a running account instead of settlement to settlement clearance of dues or delivery of securities to us and no interest shall be payable by the MEMBER on the same.

We have affixed our signature above consenting to the above mentioned terms of adjustments.

Categories : Individual/Partnership/HUF/Proprietorship/Corporate/Trust/MF/FI/Bank/NBFC/Society/NRI/FII/OCB/ Others (please specify)
Corporate / trusts consenting to be related as a family would require to attach a resolution in the enclosed format.



CONSENT FOR TRANSFER OF CREDIT & SETTLEMENT FOR INTRA/INTER SEGMENT INTER EXCHANGE
(OPTIONAL)

I/We registered with CD Equisearch Pvt. Ltd. (CDE) as clients/constituents on the NSE and/or BSE and/or MCX-SX in Cash/Capital, Derivatives (Futures & Options and/or Currency) and having a Depository account with CDE do hereby authorise you as under:

To move/transfer funds any/all my/our accounts/and/or payouts resulting on account of sale of shares and securities and/or payouts due to settlement/closing of contracts and/or margin refunds from cash/capital and/or derivatives (Futures & Options and Currency) of NSE and/or BSE and/or MCX-SX and adjust the same towards debit balance in any/all my/our accounts of cash/capital and/or Derivatives (Futures & Options and Currency) of NSE and/or BSE and/or MCX-SX and debit balances in depository accounts and/or any other debit and/or payment.


I/We also understand that this would save on banking charges and/or operational delays and cost towards transfer of funds between an account where I/We have a credit balance to an account or where I/We have a debit balance. Further, you are authorised to do the transfer, either by passing a journal entry in your books of account of the respective section/department and/or by physical exchange of cheques.

I/We have affixed signatures herein below consenting to the above and the same shall be in force until I/we revoke it in writing.

Signed on this _____ day of _____ 200_____ at _____

Thanking you,

Yours faithfully,



(Signature of Client)

CDE Account Code details :

Capital Market Segment:
(NSE/BSE)

Code : _____

DP A/C _____

Derivative Segment:

Code : _____

DP ID : _____

AUTHORISATION TO THIRD PARTY

(OPTIONAL)

(Mention relationship)

I/We.....having a broking account bearing No.....with CD Equisearch Pvt. Ltd. (CDE) as hereby authorise.....son/wife/daughter of.....hereinafter referred to as either mandate holder or authorised representative whose signature is given below to trade on my/our behalf and I/we further accept that all obligations arising out of trades executed by such person will be met by me/us. Further, I/we authorise you to accept all instructions, from such person pertaining to settlement of transactions in my/our account. I/We also authorise you to make payments to Mandate Holder/Authorised Person.

I/We also undertake to indemnify CDE for all dues, penalties and incidental expenses relating to and arising out of and in connection with CDE transactions pertaining to trading account No.....with CDE and operated by my/our mandate holder or authorised representative Mr/Mrs.....

Place : _____ (Signature of Mandate Holder)

Date: _____
Witness Signature: _____ (Signature of the Client)

Witness Signature : _____ Client code _____

Note: In case the client does not sign this mandate, orders, instructions and payment/transfer advises shall not be accepted in the client account from person(s) other than the client. It is advised that the client thereby authorises a person to avoid transaction/settlement issues in his/her absence.

DECLARATION BY KARTA & ALL CO-PARCENERS IN CASE OF HUF ACCOUNT

CD EQUISEARCH PVT. LTD.

(MANDATORY IN CASE OF HUF)

37, Shakespeare Sarani, Kolkata-700 0171

Dated :

A/c. No.....

1. WHEREAS the Hindu Undivided Family of.....is carrying on business in the name and style of At
.....or we intent to deal, have or desire to have Share Trading Account with CD EQUISEARCH PVT. LTD. (hereinafter referred as "MEMBER"). We, undersigned hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Sh..... is the present Karta of the said joint family.
2. We confirm that affairs of the H.U.F. firm are carried on mainly by the Karta Sh.....on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorize the Karta Sh.....on behalf of the H.U.F. to deal on Capital Market segment (CM), Derivatives (Futures and Options & Currency) or any other segment that may be introduced by NSE/BSE/MCX-SX in future and the said Trading Member is hereby authorized to honor all instructions oral or written, given by him on behalf of the H.U.F. Mr.....is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through CD EQUISEARCH PVT. LTD. on behalf of the H.U.F..... He is also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said H.U.F. to the Member and agree and confirm that any claim due to the Member from the said H.U.F. shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.
3. We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said H.U.F. and until receipt of such notice by the Member which shall be binding on the said joint family and the said H.U.F. and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member for all dues obligations of the said H.U.F. in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.
4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no.....with Depository.....opened in the name of Sh..... who is the Karta of H.U.F.
5. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority, is authorized to act on behalf of, and bind the said H.U.F.

Name of the Minor

Father's Name

Date of Birth

6. We have received and read a copy of the Member's rules and regulations for the conduct of Share Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Thank you,

Yours truly,

Name :

Address :

..... (Signature of Karta) (Along with rubber stamp) (Signature of Co-parcener) (Signature of Co-parcener) (Signature of Co-parcener)
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DECLARATION TO BE GIVEN BY GUARDIAN

(Mandatory in case of account opening for minor)

Dated :

M/s. CD Equisearch Pvt. Ltd.,
37, Shakespeare Sarani, Kolkata-700 017

Ref. : Trading Account No.....

Dear Sir,

This is with reference to the above account opened in the name of Master/Ms. _____ A/c.
_____ (name of the minor) with you for the purpose of dealing in securities on the Stock Exchange(s).....

With reference to the said aforementioned trading account, you are requested to kindly accept or receive funds / securities from and make payment of funds/transfer of securities to the account of my son/daughter, Master / Ms. as per the details given below for all dealings in the said trading account.

Bank Account No.	
Bank Name	
Branch	
Client ID No.	
DP ID No.	
DP Name	

Kindly do the needful.

Thanking you,
Yours faithfully



Signature of the Parent / Guardian

DECLARATION BY SOLE PROPRIETORSHIP FIRM ON LETTER HEAD OF THE FIRM

(MANDATORY IN CASE OF SOLE PROPRIETORSHIP FIRM)

Dated :

M/s. CD Equisearch Pvt. Ltd.
37, Shakespeare Sarani, Kolkata-700 017

Dear Sir,

I refer to the trading account opened with you in the name of _____ and declare and authorise you as under.

I recognise that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operation, I authorised you to recognise the beneficiary account

No. _____ with depository _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above mentioned account. I recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.



Signature (Please sign with stamp of the firm)

Further I the undersigned is the sole proprietor of the firm and is solely responsible for the liabilities thereof. I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

Yours truly,



Signature (Please sign without stamp of the firm)

DECLARATION TO BE GIVEN BY PARTNERSHIP ON LETTER HEAD OF THE FIRM

(MANDATORY IN CASE OF PARTNERSHIP FIRM)

Dated :

CD EQUISEARCH PVT. LTD.,

37, Shakespeare Sarani, Kolkata - 700 017

Dear Sir,

We refer to the trading account being opened / opened with you in the name of _____ and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a Partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorise you to recognise the beneficiary account No _____ with depository _____ opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchase and/or sold by the firm will be handled and completed through transfers to/from above-mentioned account. We recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorise _____ partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with CD Equisearch Pvt. Ltd. and sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

<i>Name of Partners (in block letters)</i>	<i>Signatures</i>

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES / TRUSTS

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS / TRUSTEES / OF _____ Ltd. / TRUST AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____ 20 _____ AT _____ A.M./P.M.

“RESOLVED THAT the Company/Trust be registered as CLIENT with CD Equisearch Pvt. Ltd., Member of the National Stock Exchange of India Ltd., Bombay Stock Exchange Ltd. & MCX Stock Exchange Ltd. for the purpose of dealing in equities, derivatives & other products and the said Member be and is hereby authorised to honour instruction, oral or written, given on behalf of the Company / Trust by any of the under noted authorised signatories:-

Sr. No.	Name	Designation
1.		
2.		
3.		

Who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with/through deal through CD Equisearch Pvt. Ltd., on behalf of the Company/Trust.”

“RESOLVED FURTHER THAT Mr _____ and/or Mr _____ Directors/Trustees of the Company/ Trust be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this Resolution.”

“RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of anyone Director and Company Secretary, who shall sign the same in token of their presence.”

For _____ Ltd.

Chairman / Company Secretary / All Trustees

Specimen signatures of the Authorised Persons

Sr. No.	Name	Specimen Signatures
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The above signatures to be attested by the person signing the Resolution for account opening on behalf of the Company/Trust.

SPECIAL TERMS AND CONDITIONS OF TRADE BY NRIS IN DERIVATIVES CONTRACTS

The NSE/BSE, has laid down certain terms and conditions for trading by NRIs in exchange traded derivatives contract, some of which are as under.

An NRI, who wishes to trade on the F & O Segment of the Exchange is required to approach the Exchange through a Clearing Member, through whom the NRI would like to clear the trade for allotment of unique client code.

The Exchange would assign a unique client code to each NRI based on the application received from the Clearing Member of the NRI. A trading member placing an order on behalf of a NRI would be required to maintain the unique client code of the NRI at the time of an order entry.

In case the NRI wishes to change his Clearing Member or wants to clear the trades from more than than one Clearing Member, all such clearing members are required to give separate applications to the Exchange for allotment of a unique client code. The date of expiry of the passport of a NRI shall be beyond 6 months from the date of application.

POSITION LIMITS

The position limits shall be

- 1) For Index based contracts, a disclosure requirement for any person or persons acting in concert who together own 15% or more of the open interest of all derivative contracts on a particular underlying index.
- 2) For stock option and single stock futures contracts, the gross open position across all derivative contracts on a particular underlying stock of a NRI shall not exceed the **higher of:**
 - (a) 1% of the free float market capitalization (in terms of number of shares)
 - (b) 5% of the open interest in the derivative contracts on a particular underlying stock (in terms of number of contracts)

This position limits would be applicable on the combined position in all derivative contracts on an underlying stock at an exchange.

The NRIs position limits at the end of each trading day will be monitored by the Derivative Segment of the Exchange and its Clearing House / Clearing Corporation in the following manner.

1. The NRI would be required to notify the names of the Clearing Member/s and Custodian through whom the NRI would clear the derivative trades to the Exchange and its Clearing House /Clearing Corporation.
2. The NRI would be required to confirm all its positions and the positions of all its sub-accounts to the designated Clearing Members online but before the end of each trading day.
3. The designated Clearing Member/s would at the end of each trading day would submit the details of all the confirmed NRI trades to the derivative Segment of the Exchange and their Clearing House / Clearing Corporation.
4. The Exchange and its Clearing House / Clearing Corporation would then compute the total NRI trading exposure and would monitor the position limits at the end of each trading day. The cumulative NRI position may be disclosed to the market on a T+1 basis before the commencement of trading on the next day.
5. In the event of an NRI breaching the position limits on any derivative contract on an underlying the NRI would not be permitted by the exchanges and their Clearing House/ Clearing Corporation/Clearing Member/s to take any fresh positions in any derivative contracts in that underlying. However, they would be permitted to execute off-setting transactions so as to reduce their open position.
6. The NRIs while trading for each sub-account would also assign a unique client code with a prefix or suffix of the code assigned by the Exchange and their Clearing House/ Clearing Corporation to the NRI. The NRI would be required to enter the unique sub-account code before executing a trade on behalf of the sub-account.



FORMAT OF NRI CLIENT CODE APPLICATION TO BE SUBMITTED BY NRI TO THE CLEARING MEMBER

Date
To,
Address of the Clearing Member

Sub : Application for the allotment of NRI code.

I wish to appoint you as my Clearing Member for clearing and settlement of trades done on the futures and options segment of NSE. My details are as follows :


Name (as appear in Passport) :
Passpost no
NRE/NRO Bank A/c No. :
PAN :
Telephone No. :
Email ID :
Current Address :
Permanent Address in India :

We request you to kindly get an NRI client code allotted by NSE/NSCCL for the same.

I undertake that all the trades executed through the above allotted NRI Client code will be on my* behalf.

(*If the NRI Client code application is for an HUF then the details of the Karta (Manager) has to be given in the application and in the undertaking should be provided as follows: "I undertake that all the trades executed through the above allotted code will be on behalf on HUF")

Yours sincerely,



Name & Signature

BANK CERTIFICATE

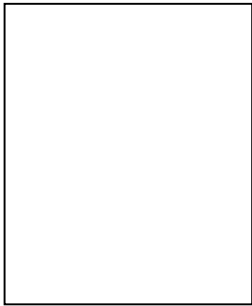
(OPTIONAL)

Dated :
To
M/s. **CD Equisearch Pvt. Ltd.**,
37, Shakespeare Sarani, Kolkata - 700 017

Dear Sir,

This is to certify that the Savings/Current Account No..... of Mr./Ms.
.....held jointly with Mr./Ms.
.....with our branch has been active since
..... years/months and the operation of the account has been satisfactory.

We further confirm that the photograph herein bears likeness to the identity of the above mentioned person and that the address of the person is as given below :



(Bank stamp across
photographs)

.....

Signature of Client

Signed in my presence and Attested

Name, Signature of the Branch Manager

Stamp of the Bank and the Branch

Signature of the Branch Manager



CD Equisearch Pvt. Ltd.

Corporate Office
10, Vaswani Mansion, 2nd Floor
Dinshaw Waccha Road, Churchgate
Mumbai-400 020
T: 91 22 3355 0000 / 6637 8445/47
F: 91 22 2283 2276
www.cdequi.com

Date :

To,

Dear Sir/Madam,

We are privileged to have you as our valued customer and welcome you to CD Equisearch Private Limited. Your relevant details are mentioned below. If you find any discrepancy, or in case of any change in the information given below, you are requested to intimate the same to us, otherwise the below mentioned information shall be treated as valid and shall be binding on you.

Client Code												
Client Name												
Correspondence Address												
E-mail Id												
Phone							PIN					
PAN												
Client Bank Details												
Bank Name	Branch Name				Account No.			Account Type				
DP Information												
NSDL						CDSL						
DP Name	DP ID	Client ID				DP Name	DP ID	Client ID				
						CD Equisearch Pvt. Ltd.	12027700					

Further, for any query or clarification please contact Mr.

Also, please find enclosed herewith, a copy of Account Opening Form, Rights & Obligation, Risk Disclosure Document, Policies & Procedures, Tariff Sheets and other documents executed by you for your necessary information and records.

We look forward to a long-term relationship and trust you will find your experience with CD Equisearch Private Limited a fruitful and a rewarding one.

If any grievance, please mail at complaints@cdequi.com

Compliance Officer : Jayesh J Vora, M - 93309 97285, E-mail ID : jayesh.vora@cdequi.com

Thanking you and assuring you of our best services

Yours sincerely,

For **CD Equisearch Private Limited**

Acknowledged by Client

Authorised Signatory

Client Name :



Notes to your Brokerage Account

- The transactions carried out by you will also attract other charges like, Service Tax, Stamp Duty, Transaction charges, Turnover charges, delivery of statements/contract notes by courier as per applicable rates.
- The Bank and Depository details given in the welcome letter are the default accounts registered with us. In case of any changes please contact our branches/ franchisees and submit the revised particulars.
- Please ensure that no third party delivery of securities or payments is affected against your obligations. All settlements would be carried out through banks and depository accounts mapped in our system. We have provided the particulars of this account on the reverse of this letter. In case you require the details of other bank and depository accounts mapped to your broking account, please contact our branches/ franchisees and submit the necessary details.

Updates of your address, contact details and email

- In case you have provided your personal email address at the time of account opening, we would be sending the statements given below to you on the day of your trade.
- In order to avoid delivery failures of Digital Contact notes and other confirmations, please ensure that your email id is regularly updated. In case of any change in the email address, kindly arrange to notify us.
- In case of change in your correspondence address or contact nos, kindly visit our branches/ franchisees and submit necessary details for update in our records.

Confirmations and Statements by Email (Free)

- Digital Contract notes for the trades executed on your behalf will be dispatched to you within 24 hours of execution on your email ID registered with us. Kindly report discrepancies if any at our email address, within 48 hours of the receipt. Further all other details pertaining to your transactions such as statement of accounts, securities, daily margin statement, margin obligation etc will also be send in the said email id.

Website and Email access

Online Access to your account is available on <https://www.cdequi.com> through two different links. You are requested to note the path mentioned below: Please change the password on logging in for the first time.

Path -1: Go to www.cdequi.com —→ Client Login —→ Back office Login —→current —→ user id & password (client code)

Path -2: Go to www.cdequi.com —→ Client Login —→ Back office Login —→Esign —→ user id & password (client code & pan no.)

SMS Alerts

In addition to the above, the particulars pertaining to your daily trades, ledger balance etc will also be send in your mobile number registered with us. Kindly report discrepancies if any immediately. In case of any change in your mobile number, kindly arrange to notify us.

