



URJA Investment

money never sleeps

URJA INVESTMENT PRIVATE LIMITED

Member: National Stock Exchange of India Ltd. (Cash and F&O Segment)
Member : Bombay Stock Exchange Ltd. (Cash and F&O Segment)
SEBI Regn. No. : INZ000266734

M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001
Phone: +91 9266151444, 9891109109
Email: grievance@urjaglobalinvestment.com
Website: <https://urjaglobalinvestment.com>

CLIENT REGISTRATION FORM

- . INDIVIDUAL
- . NRI
- . CORPORATE
- . PARTNERSHIP FIRM



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Member : National Stock Exchange of India Ltd.
Bombay Stock Exchange Ltd.

Form No:

Date Opening KYC:

Client Name:

Client Code:

BOLD:

Introducer:

urjaglobalinvestment.com

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CLIENT REGISTRATION FORM

☐ Trading:

KNOW YOUR CLIENT FOR EQUITY AND DEPOSITORY INDIVIDUAL

First/Sole Holder Name

Client Code Introducer Name HO

DP ID

 BO ID

Account Opening Date

REGISTRATION FOR :

- | | | |
|--|--|--|
| ☐ NSE Cash Segment | ☐ BSE Cash Segment | ☐ Demat Account |
| ☐ NSE Derivatives Segment | ☐ BSE Derivatives Segment | ☐ Mutual Fund |
| ☐ MCX Comodity | ☐ ALL Segment | |



Regd. Office:		8, Matru Mandir Compound, 278, Tardeo Road, Mumbai-400007
Correspondence Office:		M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001
Ph.No.	+91 8595903054	CIN U65990MH1989PTC050564
E-mail:	grievance@urjaglobalinvestment.com Web: https://urjaglobalinvestment.com	
Compliance Officer Name:	Contact No	Email Id:
Mr. Ajay N Jha	+91 8595903054	compliance@urjaglobalinvestment.com
CEO Name	Phone No.	Email ID
Mr. Shishir Kumar	+91 9650498414	shishirkashyap@urjaglobalinvestment.com

NAME OF STOCK BROKER / TRADING MEMBER :Urja Investment Private Limited		
Registered Office Address	8, Matru Mandir Compound, 278, Tardeo Road, Mumbai-400007	
Correspondence Office Address	M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001	
Contact Details	Ph.: +91 8595903054, Website:https://urjaglobalinvestment.com	
Compliance Officer Name	Name : Mr. Ajay N Jha, Mob No.: +91 8595903054 & Email : compliance@urjaglobalinvestmet.com	
Registration details		
Exchange	Segment	TMID
NSE	CM, FNO	06961
BSE	CM, FNO	3126

Single SEBI Registration No: INZ000266734 Dt : March,23 2018 (Stock Broker)

Stock Broker: Urja Investment Private Limited (UIPL) : M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001

Phone: +91 8595903054 **Email ID:** grievance@urjaglobalinvestment.com

SEBI Reg. No.: INZ000266734

Compliance Officer: Mr. Ajay N Jha, **Phone:** +91 8595903054, **Email ID** : compliance@urjaglobalinvestment.com

CEO : Mr Shishir Kumar, **Phone :** +91 9650498414, **Email ID:** shishirkashyap@urjaglobalinvestment.com

Contact for any Grievance/ Dispute: For any grievance /dispute please contact Urja Investment Private Limited (UIPL) at the above address or Email Id- compliance@urjaglobalinvestment.com (for trading) phone: 8595903054.

In case not satisfied with the response, please contact the concerned exchange (s) investor's grievance cell at national stock exchange of India (NSE) ignse@nse.co.in or 1800 266 0058; BSE

Limited(BSE), is@bseindia.com or 022-2272 8138

Grievance Cells at National Stock Exchange of India Limited

	CDSL	NSDL	NSE	BSE
Email ID	complaint@cdslindia.com	relations@nsdl.com	ignse@nse.co.in	is@bseindia.com
Phone No.	1800-22-5533	+912248867000	1800-266-0050	+912222728016

Further, the above documents is also made available in vernacular languages, you may download from our website :

<http://www.urjaglobalinvestment.com/downloads/mandatory>

NSE Website Link: https://www.nseindia.com/membership/content/complinc_trading_mem.htm or

complaints@cdslindia.comrelations@nsdl.com ignse@nse.co.in is@bseindia.com

Name of Stock Broker: Urja Investment Private Limited

Reg Address: 8, MATRU MANDIR COMPOUND, 278, TARDEO ROAD, MUMBAI-400007

Correspondence address: M-132 Inner Circle, 2nd Floor, Connaught Place, New Delhi- 110001

SEBI Registration Number: INZ000266734

Exchange Registration Nos NSE : TM No-06961, BSE : 3126

Director: Mr. Shishir Kumar Ph 011-69112000
email id: shishirkashyap@urjaglobalinvestment.com

Compliance Officer Details: Mr. Ajay N Jha
Mob: 8595903054
Email: compliance@urjaglobalinvestment.com

TO BE FILLED BY INTERMEDIARY / EMPLOYEE

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, Policies & Procedures. 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, Policies & Procedures. would be made available on my/our website, if any, for the information of the clients.

Client Code.....

Sign.....

ACKNOWLEDGEMENT TO URJA FROM CLIENT

Date

To,

Urja Investment Pvt Ltd.

M-132 Inner Circle, 2nd Floor,

Connaught Place, New Delhi- 110001

I/we hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:-

- Trading Account Related Details & Tariff Sheet (Trading & Demat Account)
- Rights and Obligations of Stock Brokers, Authorised Person and Clients
- Internet and Wireless technology based trading facility provided by Stock Brokers to Client
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- Terms & Conditions as Mutually agreed by me & FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specifically in voluntary segment. I/we am/are abiding by these terms & conditions.

I/we reconfirm that I/we and stock broker shall refer any claim and/or disputes with respect to deposits, margin money, etc, to arbitration as per the Rules, Byelaws, and Regulation of the Exchanges where the trade is executed and circulars/notices issued there under as may be in force from time to time. I/We reconfirm that I/we and Stock Broker shall refer all claims, differences or disputes between us arising out of or in relation to dealings, contracts and transaction made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfilment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into to arbitration in accordance with the provisions of these Byelaws and Regulations.

Thanks and Best regards,

Client Code:.....

For:.....

Sign here.....

For Urja Investment Pvt. Ltd.

Authorised Signatory / Director

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Sr.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the Basic Information about the constituent.	1-8
		C. Document captures the additional Information about the constituent, relevant trading account and an instruction / check list.	
2.	Rights and Obligations	Documents stating the Rights and Obligations of Stock Broker / Trading Member, sub broker and Client for trading on exchanges (including additional rights and obligations in case of internet / wireless technology based trading).	9-11
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	12-14
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange for the education of the investors.	15-16
5.	Policies and Procedures	Document describing significant policies and procedure of the Stock Broker.	17
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	18

OTHER MANDATORY DOCUMENTS

1.	FATCA Declaration	FATCA Declaration	19-21
2.	Most Important Terms and Conditions(MITC)	Non-custodial Trading Accounts	22-24
3.	Freezing/Blocking of Trading Account	Purpose, Procedure and Request to Block/Unblock	25-26

VOLUNTARY DOCUMENTS

1.	General Authority, Verbal Order, RAA & Other	General Authority, Verbal Order, RAA & Other	27-29
2.	Letter of Authority	Letter of Authority	30
3.	Statement of Account receiving in Electronic mode	Statement of Account receiving in Electronic mode	31
4.	Declaration by HUF	Declaration by HUF	32
5.	ECN & Bank Mandate Authorization	ECN & Bank Mandate Authorization	33
6.	Authentication to debit Demat charges from my ledger	Authentication to debit Demat charges from my ledger	34



A. Identity Details

Prefix	First Name	Middle Name	Last Name
1. Name of Applicant			
Name as per Income Tax Record			
Maiden Name (if any)			
Father / Spouse Name			
Mother Name			
2. A. Gender Male ☐ Female ☐ Transgender ☐ B. Marital status Single ☐ Married ☐ Others ☐			
3. PAN Nationality / Citizenship ☐ Indian ☐ Other (Please specify)			
4. Residential Status ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin			
Occupation (Please tick (3) any one and give brief details).			
☐ Private Sector Service ☐ Public sector ☐ Government service ☐ Business ☐ Professional			
☐ Agriculturist ☐ Retired ☐ House wife ☐ Student ☐ Others (Please Specify)			
5. UID/Aadhaar Date Of Birth dd / mm / yyyy			
6. Proof of Identity submitted for PAN exempt cases (see guideline 'D' in check list.)			

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

B. Address Details

1. Address for Correspondence			
State		City/Town/Village	Pincode
Country			
2. Contact Details			
Mobile (Primary) (ISD)(STD)	Mobile (Secondary) (ISD)(STD)		
Tel. (ISD)(STD)	Fax (ISD)(STD)		
MOBILE (Primary) given by me belongs to ☐ Me ☐ Spouse ☐ Dependent Children ☐ Dependent Parents			
Mobile No. is registered in name of _____ who's PAN No. is _____			
E-Mail ID (In Capital Letters only)			
E-MAIL ID given by me belongs to ☐ Me ☐ Spouse ☐ Dependent Children ☐ Dependent Parents			
E-mail-ID is registered in name of _____ who's PAN No. is _____			
3. Specify the Proof of Address submitted for Residence / Correspondence Address ☐ UID ☐ Bank Statement ☐ Other _____			
4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant			
State		City/Town/Village	Pincode
Country			

5. Specify the proof of Address submitted for Residence / Permanent Address _____

C. Fatca & CRS Detail Nationality/Tax Residency/Citizenship Other than India ☐ No ☐ Yes

Country of Birth	Place/City of Birth
Country of Citizenship/Nationality	
Country of Tax Residency (Other Than India)	
Tax Payer Identification Number (Other Than India)	

2. Gross Annual Income Details Income Range per annum: ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac
(please tick ✓) ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ >25 Lac

Declaration : I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case of the above information is found to be false or untrue or misleading or misrepresenting. I am /we are aware that I/We may be held liable for it. I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining / sharing my KYC record and as an audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code of my Aadhaar XML/Dig locker XML file, along with pass code and as applicable with SEBI, KRA, CKYC and other Institutions/agencies/Intermediaries with whom I have a business relationship for KYC purposes only.

SIGNATURE OF APPLICANT

(2)

Place: _____

Date: _____

IPV TO BE FILLED BY - EMPLOYEE/API/OTHERS

Intermediary name OR code
☐ (Originals Verified) Self Certified
Document copies received
☐ (Attested) True copies of documents
received Main Intermediary

☐ IN-PERSON VERIFICATION (IPV)	☐ DOCUMENTS VERIFIED WITH ORIGINALS	☐ CLIENT INTERVIEWED BY
Date : dd / mm / yyyy	Institution Name & Code : Urja Investment Private Limited	
Name : _____	Code : _____	
Designation : _____	Signature : _____	

ANNEXURE

Name of the Applicant _____

Name, PAN, Residential Address and Photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :

1. Name

Date of Birth / / Status PAN

Residential Address

DIN UID DPIN

Mobile

E-Mail ID (In Capital Letters only)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

- ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

2. Name

Date of Birth / / Status PAN

Residential Address

DIN UID DPIN

Mobile

E-Mail ID (In Capital Letters only)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

- ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

3. Name

Date of Birth / / Status PAN

Residential Address

DIN UID DPIN

Mobile

E-Mail ID (In Capital Letters only)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

- ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

4. Name

Date of Birth / / Status PAN

Residential Address

UID DPIN

Mobile

E-Mail ID (In Capital Letters only)

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

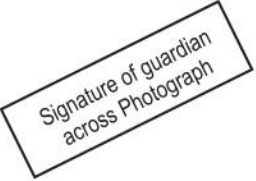
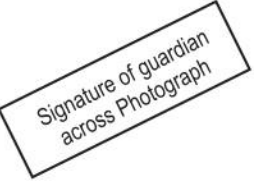
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

- ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

Date / /

Name & Signature of the Authorised Signatory (ies)

NOMINATION OPTION For DP & Trading both)																
☐ NOMINATION DETAILS (Annexure A) I/We nominate the following persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.																
Nomination can be made upto three nominees in the account.			Details of 1st Nominee				Details of 2nd Nominee				Details of 3rd Nominee					
1	Name of the Nominee(s) (Mr./Ms.)															
2	*Percentage of allocation of securities Equally [If not equally, please specify percentage] Or ☐ Share of each Nominee		%				%				%					
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.													
3	Relationship With the Applicant (If Any)															
4	Address of Nominee(s)															
	PIN Code															
5	Mobile/Telephone No. (Optional)															
6	Email ID (Optional)															
7	Nominee Identification details - [Please tick any one of following and provide details of same] Photograph & Signature		Photograph of 1st Nominee Signature of nominee across Photograph				Photograph of 2nd Nominee Signature of nominee across Photograph				Photograph of 3rd Nominee Signature of nominee across Photograph					
			Signature				Signature				Signature					
	☐ PAN															
	☐ Aadhaar															
	☐ Saving Bank Account No.															
	☐ Proof of Identity															
	☐ Demat Account ID (optional)															
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																
8	Date of Birth {in case of minor nominee(s)}															
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}															
10	Address of Guardian															
	PIN Code															
11	Age															
12	Mobile/Telephone No. (Optional)															
13	Email ID (Optional)															
14	Relationship of Guardian with Nominee															

15 Guardian Identification details - [Please tick any one of following and provide details of same] Photograph & Signature	Photograph of 1st Guardian 										Photograph of 2nd Guardian 										Photograph of 3rd Guardian 									
	Signature										Signature										Signature									
☐ PAN																														
☐ Aadhaar																														
☐ Saving Bank Account No.																														
☐ Proof of Identity																														
☐ Demat Account ID (optional)																														
Signature of Witness for Nomination (In case of Thumb Impression)																														
Name of the Witness										Address										Signature of Witness										
																				D D M M Y Y Y Y										
	Sole / First Holder / Guardian (Mr./Ms.) (In case of Minor)										Second Holder (Mr./Ms.)										Third Holder (Mr./Ms.)									
Name																														
Signatures																														

Notes :

- All communication shall be sent at the address of the Sole / First Holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of the account holder(s) with required documents within one year of date of demise.
- In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No.4. In case "All joint account holders" is opted, communication to first holder will be sent as per the preference mentioned at Sr. No.4 and communication to other holders will be in electronic mode. The default option will be communication to first holder, if no option selected.
- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust body corporate and partnership firm, karta of Hindu Undivided Family holder of DDPI cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.

7. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
8. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family holder or a DDPI holder. A non- resident indian can be a Nominee, subject to the exchange / depository controls in force, from time to time.
9. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination, in respect of the securities shall stand terminated upon transfer of the securities.
10. Transfer of securities, in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
11. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, karta of Hindu Undivided Family, holder of DDPI cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
12. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
13. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/ share for each of the nominees, the default option shall be a settle the claims amongst all the nominees.
14. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned at the time of substitution will be considered. Therefore please mention the complete details of all the nominees.
15. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents.
16. Savings bank account details shall only be considered if the account is maintained with the same participant.
17. DP ID and Client ID shall be provided where demat details is required to be provided.
18. Strike off whichever is not applicable.

Declaration Form for opting out of nomination (Annexure B)

UCC / DP-ID	
Client ID (Only for Demat Account)	
Sole / First Holder Name	
Second Holder Name	
Third Holder Name	
☐ I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non- appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.	

	Sole / First Holder / Guardian (Mr./Ms.) (In case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures			

TRADING & DEMAT ACCOUNT RELATED DETAILS*For both Individuals and non Individuals***A. BANK ACCOUNT (S) DETAILS****I. BANK ACCOUNT DETAIL**

Sr No.	Bank Name & Address	Bank account No.	Account Type	MICR No.	IFSC Code
PRI SEC			☐ Saving ☐ Current ☐ NRE ☐ NRO		
PRI SEC			☐ Saving ☐ Current ☐ NRE ☐ NRO		

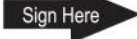
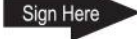
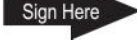
B. DEPOSITORY ACCOUNT (S) DETAILS

Depository Participants Name	Depository Name	Beneficiary Name	DP ID	BENEFICIARY ID (BO ID)
	CDSL			

I authorize you to transfer the shares purchased by me to the above mentioned demat beneficiary account.

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you..

Exchanges	All segments	
NSE, BSE	Cash / Mutual Funds	Sign Here 
	F&O	Sign Here 
		Sign Here 
		Sign Here 
		Sign Here 
		Sign Here 
		Sign Here 
		Sign Here 
		Sign Here 

If you do not wish to trade in any of segments /Mutual Funds, Please mention here.

Important Risk Disclosures from SEBI

Please read the following pointers before participating in the derivatives segments of the markets

Risk Disclosures on Derivatives

01. 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses
02. On an average, loss makers registered net trading loss close to ₹50,000
03. Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs
04. Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

1. I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
3. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.

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. ADDITIONAL DETAILS

1. I/We hereby request you to provide the Contract Notes, Daily Margin Statements, Monthly/Weekly Statements, Settlement Extracts, AGTS, etc. at my/our registered email id. My/our Email Id has been created by me/us and not by someone else. I/We am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my/our e-mail ID. ☐ Yes ☐ No

- Whether you wish to receive your executed KYC ☐ Electronically ☐ Physically
- Whether you wish to avail of the facility of internet trading/ wireless technology : ☐ Yes ☐ No (if yes, then please specify)
- ☐ Application Base Trading ☐ Web Base Trading ☐ Securities Trading using Wireless Technology ☐ NOW
- Number of Years of Investment / Trading Experience : _____
- Any other information : _____

E. OTHER DETAILS

- Net Worth (Net worth should not be older than 1 year) Amount Rs. _____ as on (date) / /
- Is the entity involved/providing any of the following services ☐ Yes ☐ No
 - For Foreign Exchange/Money Changer Services ☐ Yes ☐ No - Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates)
 - Money Lending / Pawning ☐ Yes ☐ No
- GST Registration Details

S. No.	State	State Code	GST Registration No.	Validity Date
1.				

- **Political Exposed Person (PEP) Please tick, if applicable** (Note : In case of Non-individuals please tick, if applicable for any of your authorised signatories/Promoters/Partners/Karta/Trustees/whole time directors) :
 - ☐ Not a Politically Exposed Person (PEP) ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
 - ☐ Not Related to a Politically Exposed Person (PEP)

- Any other information : _____

F. PAST ACTIONS

- ☐ Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its authorized persons in charge of dealing in securities & commodities during the last 3 years : _____

G. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

G1. DEALINGS THROUGH AUTHORISED PERSON

- If client is dealing through the authorised person, provide the following details:

Authorised Person's Name: _____ SEBI Registration number: _____

Registered office address & Contact Details : _____

G1. DEALINGS THROUGH AUTHORISED OTHER STOCK BROKERS / PERSON

- whether dealing with any other stock broker/ authorised person (if case dealing with multiple stock broker / authorised person, provide details of all)

Name of Stock Broker : _____ Name of Authorised Person, if any : _____

Client Code: _____ Exchange : _____

- Details of disputes/dues pending from/to such stock broker / authorised person : _____

Annexure – 4

Rights and Obligations of Stock-Brokers, Sub-broker (Authorized Person - AP), Clients as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities / contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars /notices issued there under from time to time.
2. The stock-broker, sub-broker (AP) 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 (AP) 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 exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock-broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock-broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency 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 (AP) 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 Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock-broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds /securities in favor of a Nominee shall be valid discharge by the stock-broker against the legal heir.

21. The stock-broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock-broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock-broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

23. The stock-broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the stock-broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed, and circulars/notices issued thereunder as may be in force from time to time.

25. The stock-broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered 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 (AP) 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 (AP) or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker (AP) 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 (AP) and client shall continue to be in force as it is, unless the client intimates to the stock-broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock-broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock-broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock-broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock-broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock-broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock-broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock-broker.

35. The stock-broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter 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 shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock-broker. The client shall communicate to the stock-broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock-broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock-broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock-broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/ regulations /circulars/guidelines issued by SEBI /Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock-broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock-broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock-broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock-broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock-broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the

client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock-broker, sub-broker (AP) and the client shall be entitled to exercise any other rights which the stock-broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade, and circulars/notices issued thereunder or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock-broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

46. Words and expressions which are used in this document, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

47. All additional voluntary clauses/document added by the stock-broker should not be in contravention with rules/regulations/ notices / circulars of Exchanges/SEBI. Any changes in such voluntary clauses/ document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Annexure – 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS: 1.1. Risk of Higher Volatility:

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

1.2. Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for / 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.

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. 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.

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.

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

1.8. System/Network Congestion:

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

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

2.1. Effect of "Leverage" or "Gearing":

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

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

- 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:

- a. 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.
- b. 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.
- c. 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 marketplace. 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:

- a. 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.
- b. 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:

- a. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
- b. 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.
- c. 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

- a. 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.
- b. 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.
- c. The term Sub-Broker is now replaced with Authorized Person (AP), who is appointed by the Stock- Broker for each exchange segment under appropriate registration with the respective Stock Exchanges that have prescribed the eligibility criteria and procedure for appointment of Authorised Persons by Trading Members.

Annexure – 6

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

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.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/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock-broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favor 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. Do not opt for ECN if you are not familiar with computers.
9. Do not share your internet trading account's password with anyone.
10. Do not make any payment in cash to the stock-broker.
11. Make the payments by account payee cheque in favor of the stock-broker. Do not issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock-broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately contact the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization, 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 may maintain a 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 stock-broker shall do the actual settlement of funds and securities, 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 five trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock-broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock-broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock-broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock-broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock-brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock-broker/sub-broker (AP) 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-broker (AP) has been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

**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/commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.

2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities/commodities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person 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/commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed

to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non- execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

Sign here: 

TARIFF SHEET

TARIFF SHEET - BROKERAGE STRUCTURE - EQUITY

	% of Turnover	Minimum	Brokerage Slab	% of Turnover	Minimum	Sign here in case of cutting / overwriting
Equity Delivery		_____ Per Share	Equity Normal		_____ Per Share	
Equity Options		Rs. _____ Per Lot	Equity Futures		_____ Per Share	

Important Note: In case of Physical Contract notes or other related documents being dispatched to client, a difference of Rs.25/- +GST in total brokerage booked on a particular contract would be charged to ward minimum processing fee. Delay payment charges @2% per month would be charged for debit/shortage in payin/ margin default, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/beneficiary/margin account for payin/payout or margin purpose will be charged. Transaction charges/ Clearing Charges/other statutory charges/ courier/ administration/ processing charges will be charged as applicable. Handling charges for issue of account statement, copy of contract note etc. will be charged as applicable. One time processing fee Rs.50/- per segment and DDPI charges Rs. 100/- shall be charged.

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, tariff sheet and all voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the Rights and Obligations', Policies & Procedures document(s) and 'Risk Disclosure Document', 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we have read, understood, agreed and received a duly executed copy of the: - • Account Opening Form, Trading Account Related Details and Tariff Sheet • Other disclosure/documents as agreed by me/us specifically in voluntary segment. • Terms & Conditions as mutually agreed by me/us • FATCA & CRS Terms & Conditions • Option Consent Letter • Other disclosure/documents as agreed by me/us specifically in voluntary segment. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website.

Place:

Date:

(09)
Signatures _____
Sole/First Holder Signature

(05)

Second Holder Signature

(05)

Third Holder Signature

Sole / First Holder's Name : _____ Second Holder's Name: _____ Third Holder's Name: _____

FATCA & CRS DECLARATION (FOR INDIVIDUAL)

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency? ☐ YES ☐ NO

Sole/First Holder/Guardian ☐ YES ☐ NO		Second Holder ☐ YES ☐ NO		Third Holder ☐ YES ☐ NO	
Country of Birth		Country of Birth		Country of Birth	
Country of Citizenship/ Nationality		Country of Citizenship/ Nationality		Country of Citizenship/ Nationality	
Are US Specified Person?	☐ Yes ☐ No Please provide Tax Payer ID	Are US Specified Person?	☐ Yes ☐ No Please provide Tax Payer ID	Are US Specified Person?	☐ Yes ☐ No Please provide Tax Payer ID
Country of Tax Residence* (Other than India)	Taxpayer Identification No.	Country of Tax Residence* (Other than India)	Taxpayer Identification No.	Country of Tax Residence* (Other than India)	Taxpayer Identification No.
1.		1.		1.	
2.		2.		2.	
Address		Address		Address	

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

FATCA - CRS Terms and Conditions

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Urja Investment Private Limited for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI). Signatures

Signature

Sole/First Holder

Signature Second Holder

Signature Third Holder Signature

*For detail terms & conditions please see Client Copy

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number
1.		
2.		
3.		

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

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

We are a, Financial institution (Refer 1 of Part C) or Direct reporting NFE (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____
GIIN not available (please tick as applicable)	☐ Applied for Not obtained ☐ – Non-participating FI ☐ Not required to apply for - please specify 2 digits sub-category (Refer 1 A of Part C)

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes ☐ (If yes, please specify any one Stock Exchange on which the stock is regularly traded) . Name of Stock Exchange _____
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes ☐ (If yes, please specify name of the listed company and one Stock Exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation ☐ Subsidiary of the Listed Company or Controlled by a Listed Company Name of Stock Exchange _____
3. Is the Entity an active NFE (Refer 2c of Part C)	Yes ☐ Nature of Business _____ Please specify the sub-category of Active NFE (Mention code – refer 2c of Part C)
4. Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes ☐ Nature of Business _____

UBO Declaration (Mandatory for all entities except, a Public Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company
☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust
☐ Others (Please Specify _____)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO code (Refer 3(iv) (A) of Part C)			
Country of tax Residency*			
PAN			
Address			
Address Type	☐ Residence ☐ Business ☐ Registered Office	☐ Residence ☐ Business ☐ Registered Office	☐ Residence ☐ Business ☐ Registered Office
Tax ID%			
Tax ID Type			
City of Birth			
country of Birth			
Occupation Type	☐ Service ☐ Business ☐ Others	☐ Service ☐ Business ☐ Others	☐ Service ☐ Business ☐ Others
Nationality			
Father' Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%)			

* To include US, where controlling person is a US citizen or green card holder

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

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

\$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION : I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Globe Capital Market Ltd for any modification to this information promptly. I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name, Designation & Signature			
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*For detail terms & conditions in client copy

Annexure A

Most Important Terms and Conditions (MITC) (For non-custodial settled trading accounts)

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

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

General Clause

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

Beneficial Owner information

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

form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and /or Depository circulars/directions/notifications issued from time to time.

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

Dematerialization

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

Separate Accounts

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

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.

15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and /or Depository from time to time. Manner of Closure of Demat account

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

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

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

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

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze /defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze /defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

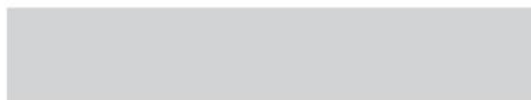
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye -laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye - laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his /her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

"I/we acknowledge the receipt of copy of the document, "Rights



FACILITY FOR VOLUNTARY FREEZING/ BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT (Not applicable to clients who do not have online trading access with URJA INVESTMENT PRIVATE LIMITED)

Introduction

In order to eliminate the risk of suspicious activities in clients trading accounts and to enhance ease of doing business & ease of investment. We do hereby inform and notify you that we have made a policy for voluntary freezing/blocking the online access of the trading accounts through which Client may request to freeze/block the online access of his/her trading account on account of suspicious activities, in compliance of SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated 12-Jan-2024 & NSE Circular No. 24/2024 dated 08-Apr-2024. The policy for the facility of voluntary freezing/blocking of trading accounts by clients is a significant measure implemented to enhance the security and integrity of the trading environment. This policy allows clients to proactively safeguard their trading account against unauthorized access or potential fraudulent activities. Under this framework, clients have the autonomy to request the freezing or blocking of their online trading account access. This can be particularly useful in scenarios where they suspect suspicious activities or as a precautionary step when they will not be trading for an extended period.

Purpose

The procedures outlined herein are per regulatory requirements in the aforementioned circulars. All clients are requested to note that the forthcoming guidelines are issued to facilitate the freezing/blocking of their respective online trading accounts upon explicit requests from the client's end in case they notice any suspicious activity on their trading accounts.

A few instances of suspicious activities would include:

- Fresh positions being taken without the client's knowledge or action.
- Holdings being sold without the client's knowledge or action.
- A client is unable to access his/her account.
- A client notices a change in their linked bank account/ email/ mobile number without them having placed a request.
- A share transfer via gift/ easiest is initiated without the client's knowledge or action.

Periodic Review

This document essentially helps curb clients' risk and hence forms an integral part of URJA INVESTMENT PRIVATE LIMITED internal Risk Management Policy. As such, it shall be reviewed every half year unless an earlier review is necessary to ensure that the policy remains updated as per regulatory changes.

Procedure to Freeze/Block the Online Trading Account

● Timelines

In line with regulatory requirements, upon the explicit request from a client to block the online access to their trading account through any of the modes mentioned in the forthcoming sections, all efforts will be taken by URJA INVESTMENT PRIVATE LIMITED Personnel to fulfill the request as per the below timelines:

- a. For requests received within trading hours*, all efforts shall be taken to block the account within 15 minutes.
- b. For requests received after trading hours up until 15 minutes before the market opening time, all efforts will be taken to block the account before the start of the next trading session.

*Trading hours shall be as follows: Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m., Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m.

● Mediums

Clients can report suspicious activities on their trading account via the following mediums:

Option A: Clients can send an email to info@urjaglobalinvestment.com from their registered email ID.

Option B: Clients can call on the number **+91-9266151446** from its registered mobile number to initiating a freeze/block online access of the trading accounts.

- **Verification (Mandatory)**

- Requests raised on calls

- Clients should call the dedicated number, **+91-9266151446**, from their registered phone numbers (number registered with URJA INVESTMENT PRIVATE LIMITED)
- Please note that stringent identity verification will be conducted before considering any client's block requests. Hence, all clients are requested to keep all basic Personal Identification Information (PII) handy to facilitate the smooth and fast processing of requests.

- Requests raised via the dedicated Email

- Clients are recommended to mail from their registered email address (email ID registered with URJA INVESTMENT PRIVATE LIMITED).
- Clients are requested to give relevant and detailed information regarding the suspicious activity they have noticed on their trading accounts.
- Clients who have raised block requests by mail shall receive a call back promptly from URJA INVESTMENT PRIVATE LIMITED personnel. Hence, they are advised to answer the call without fail.

- **Basic Checks & Initial Steps (Mandatory)**

URJA INVESTMENT PRIVATE LIMITED personnel would ask a series of questions (basic checks) to understand the gravity of any request received. These queries would relate to the existing positions in the client's account, inadvertent sharing of login credentials, OTPs, orders, devices used for trading, etc.

Clients are requested to kindly cooperate with the URJA INVESTMENT PRIVATE LIMITED personnel and furnish all the information required, as this is essential for assessing the situation of the trading accounts.

URJA INVESTMENT PRIVATE LIMITED authorized personnel shall communicate to the client the details of the client's existing open positions. Subsequently, the personnel will solicit input from the client regarding their preferred course of action for these positions. Upon the client's directive and subject to successful authentication of the client, URJA INVESTMENT PRIVATE LIMITED will proceed to close the client's open positions and cancel all open orders. In such instances, applicable call and trade charges will be imposed.

Clients are requested to make an informed decision based on these suggestions and communicate their decisions clearly and unequivocally so that the URJA INVESTMENT PRIVATE LIMITED personnel can proceed with the blocking/freezing of their trading accounts.

An acknowledgement of the freezing/blocking request will be sent to the client's registered email address, and details of any open positions will be provided.

Procedure to Unfreeze/Unblock the Online Trading Account

URJA INVESTMENT PRIVATE LIMITED shall re-enable online trading in the client's account after carrying out necessary due diligence including verifying the client using Two Factor Authentication and validating the client request and unfreezing the online trading access of the client account.

For unfreezing of the online access of trading account, the client will have to get in touch on the dedicated phone number (**+91-9266151446**) and submit a request via their registered email address to info@urjaglobalinvestment.com.

Clarifications

It is clarified that:

- Freezing/blocking is only for online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of URJA INVESTMENT PRIVATE LIMITED.
- The request for freezing/blocking does not constitute a request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records.

VOLUNTARY DOCUMENTS

VERBAL ORDER ACCEPTANCE AUTHORISATIONS, FIT AND PROPER PERSON DECLARATION, GENERAL AUTHORITY, RUNNING ACCOUNT AUTHORISATIONS

URJA INVESTMENT PRIVATE LIMITED

M-132, Inner Circle, 2nd Floor,
Connaught Place, New Delhi-110001

A. VERBAL ORDER ACCEPTANCE AUTHORISATION

I/we am dealing with you as client at NSE/BSE/MSEI in Capital, Derivative, Currency Derivative. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/ dealing on my/ our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/ modification and cancellation in writing and to avoid disputes, I/We must give instruction in exactly the format in duplicate (carbon copy/ photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/ photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid the it is not practical to give written instructions for order placement/modification and cancellation. I/ We understand the risk associated with verbal orders and accept the same.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

B. FIT AND PROPER PERSON DECLARATION

As per Regulation 19(1) of Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognised Stock Exchange or recognised Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.

Regulations 19 and Regulations 20 as prescribed by SEBI (herein referred as "Board") are reproduced below:

A. Eligibility for acquiring or holding shares.

- (1) No person shall, directly or indirectly, acquire or hold equity shares of a recognised stock exchange or recognised clearing corporation unless he is a fit and proper person.
- (2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognised stock exchange or recognised clearing corporation shall seek approval of the Board within fifteen days of the acquisition.
- (3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub- regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five per cent of the paid up equity share capital of a recognized stock exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.
- (4) Any person holding more than two per cent. of the paid up equity share capital of the recognised stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.
- (5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
- (6) Any person holding more than two per cent. of the paid up equity share capital in a recognised stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognised clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

B. Fit and proper criteria.

- (1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if—
 - (a) such person has a general reputation and record of fairness and integrity, including but not limited to—
 - (i) financial integrity;
 - (ii) good reputation and character; and
 - (iii) honesty;
 - (b) such person has not incurred any of the following disqualifications—
 - (i) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;
 - (ii) an order for winding up has been passed against the person;

- (iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
 - (iv) an order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
 - (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
 - (vi) the person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and
 - (vii) the person is financially not sound.
- (2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final. I/we hereby declare that, I/we am/are fit & Proper person as per the above rules & Regulations of the SEBI.

C. GENERAL AUTHORITY

Sub: Letter of Authority

I/we dealing with you as client at NSE/BSE/MSEI in Capital, Derivative, Currency Derivative Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other segments maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares/commodities in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my/our account and not settled as per the exchange requirements.
4. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts notes issued by you.
5. I/We request that you/exchange/other regulatory authority may send/dispatch to me/us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at my/our e-mail ID.
6. I/We will inform you the change of my/our demographic detail and other detail like Bank, DP etc.
7. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, commodities online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non availability or malfunctioning of your System or Service for any reason whatsoever.
8. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
9. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
10. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
11. All fines/penalties and charges levied upon you due to my/our acts / deeds or transaction may be recovered by you from my/our account.
12. I/we have a Trading as well as depository relationship with URJA INVESTMENT PRIVATE LIMITED. Please debit the charges relevant with depository services to my/our trading account. I/we also agree to maintain the adequate balance in my/our trading account/ pay adequate advance fee for the said reason.
13. I/we authorise you to send me/our the physical Contract notes/Margin statement/Ledger/Other documents through postal/courier and to charge administrative/postal/other charges if the contract notes sent to me get bounced more than 5 times.
14. For the purpose of providing quality and transparent services to its clients, the Company may record your conversation while interacting with you."

D. LETTER OF AUTHORISATION TO PLEDGE THE SECURITIES WITH CLEARING MEMBER/ CLEARING CORPORATION

I/We are dealing through you as a client registered in NSE/BSE/MSEI in Capital Market/ Future & Options/ Currency Derivatives Segments. I/we have pledged/provided you the securities (including shares and commodities both) as margin. I/we hereby confirm and declare that:

- (i) The Securities is in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise
- (ii) The Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of me/us.
- (iii) I/we authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- (iv) I/ we agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, my/ our obligations and that the rights or interests of me/ us with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities
- (v) You may invoke the pledge without any reference to or permission of me/ us and upon receipt of the Said Securities/Commodities, Trading Member may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against me/us.
- (vi) I/we shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

E. RUNNING ACCOUNT AUTHORIZATION

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

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to settle my fund once in ☐ 30 days or once in ☐ 90 days or such other period as allowed by SEBI / Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds as calculated in the manner specified by the exchanges.
4. I/We confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

The running account authorization provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

Sign here : 

Date :

Place :

LETTER OF AUTHORITY TO TRADE

To,
URJA INVESTMENT PRIVATE LIMITED (UIPL)
M-132, Inner Circle, 2nd Floor, Connaught Place, New Delhi-110001

Sub: Authority to trade on my / our behalf.

Dear Sir/Madam,
I hereby authorise Mr/Ms. _____ S/d of _____
having PAN _____, & Mobile No _____ is my husband / wife /
son / daughter / brother / sister / parents / other (Please Specify) _____ to trade on my behalf in my
trading a/c No. _____ and to perform all or any of the following acts, deeds and things
for and on my /our behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.

1. To operate the Account on my/our behalf.
2. To issue necessary instructions to you, for purchase, sale or transfer of shares and commodities from or to the Account as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities and commodities from or to the Account.
3. To make or cause to make payments to URJA INVESTMENT PRIVATE LIMITED (UIPL). whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and UIPL.
4. To duly honour all my/our contractual obligations under various agreements executed between me/us and UIPL. including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of UIPL.
5. To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to UIPL.
6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from UIPL. at designated mobile no. & undertake to update this contact detail in writing with UIPL. in the event of any such change, taking place at any time in future.
7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
8. I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
9. I/we hereby agree and undertake to indemnify and keep UIPL. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the UIPL. for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
10. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
11. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until UIPL. received and acknowledged revocation letter at its registered office.

Sign here : 

Authorised Person Signature _____

STATEMENT OF ACCOUNT RECEIVING IN ELECTRONIC MODE

To,

URJA INVESTMENT PRIVATE LIMITED

M-132, Inner Circle, 2nd Floor Connaught Place, New Delhi-110001

I/We had entered into DP BO agreement with you. I/We confirm having opted to receive the statement of accounts pertaining to our BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account.

But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode on the given Email Id as per KYC, if such a demand is made in writing on you.

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

Signatures

DECLARATION BY KARTA (for HUF only)

To
URJA INVESTMENT PRIVATE LIMITED
M-132, Inner Circle, 2nd Floor, Connaught Place, New Delhi-110001

Dear Sir/Madam,

1. Whereas the Hindu Undivided Family of is carrying on business in the firm name and style of at as given in PAN card of HUF or we intent to deal have or desire to have Securities Trading Account with Urja Investment Private Limited. (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult coparceners of the said joint family. Name of Karta & Coparceners are given in below table.

2. We confirm that affairs of HUF firm are carried on mainly by the Karta on behalf and in the interest and for the benefits of all the coparceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.

3. He is also authorize 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 HUF firm 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 coparceners of the said joint family, including the share of the minor coparceners, if any.

4. We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm 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 HUF firm 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.

5. The names and dates of the birth of all the present minor & major coparceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm.

6. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participants".

List of Members / Coparcener

S.No.	Name of Coparcener / Member	Relationship with Karta	Gender	Whether Coparcener / Member (please specify)	Date of Birth	Signature
1.		KARTA				
2.						
3.						
4.						
5.						
6.						

Signature of Karta with Rubber Stamp

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ELECTRONIC CONTRACT NOTE (ECN) DECLARATION (VOLUNTARY)

URJA INVESTMENT PRIVATE LIMITED

NSE, BSE, MSEI,

M-132, Inner Circle, 2nd Floor, Connaught Place, New Delhi-110001

Dear Sir,

I/We a client with Member M/s. Urja Investment Private Limited of NSE, BSE, MSEI, Exchange undertake as follows:

- I/We am/our aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourselves want the same in the electronic form.
- I/We am aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/our.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is as given on KYC. This has been created by me and not by someone else.
- I/we am aware that this declaration form should be in English or in any other language known to me.
- I/we am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am/our aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

* (The email id must be written in Own handwriting of the client.)

Signature of the Client



BANK MANDATE AUTHORIZATION

To

URJA INVESTMENT PRIVATE LIMITED.

M -132, Inner Circle, 2nd Floor, Connaught Place, New Delhi-110001

Sub: Mutual Fund Service System (MFSS) facility/ BSE StAR MF and other MF approved platform

Dear Sir/Madam,

This is with reference to my/our request for availing Mutual Fund Services (MFSS) facility/BSE StAR MF and other MF approved platform as a client offered by NSE and BSE, I /we hereby undertake to provide funds to Urja Investment Pvt Ltd. (herein referred to as "Urja") equivalent to the subscription amount and applicable brokerage/fees /charges before applying for mutual fund units through the "Urja".

For this purpose, I/We hereby authorize "Urja" to utilize the surplus funds in my /our trading account held with "Urja" in its capacity as a Stock Broker and transfer funds to the extent of any shortfall towards subscription amount and / or applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other obligation to meet the debit in my/our Mutual fund transaction account.

I further authorize "Urja" to process One Time Mandate Form duly executed by me in favour "Urja"/BSE and to honour the obligations that arises as a result of transactions undertaken by me/us and also debit my account for any other incidental charges including Account Maintenance Charges (AMC), applicable brokerages, fees, other statutory charges etc. I / We hereby authorize "urja", to execute an order in my/our account held with "urja" for any transaction in Mutual Fund Unit which may include purchase/redemption/switch/SIP etc. on my/our instructions provided by me/us either electronically or in writing, verbally/telephonically. I hereby agree and understand that the said instructions shall be valid and binding upon me/us.

Sign here :

Authentication to debit Demat charges from my ledger

I authorised **Urja Global Investment** to debit Demat (AC no)
charges from my trading account(UCC No.....) Ledger as and
when occurred and should clear my demat debit ledger .

Client signature