



NON - INDIVIDUAL TRADING & DEMAT ACCOUNT OPENING FORM



CLIENT NAME : _____

CLIENT CODE / UCC : _____

AUTHORISED
PERSON : _____

BO ID : _____

FINANCE MONITOR (INDIA) PVT LTD

Member : Bombay Stock Exchange
National Stock Exchange
Metropolitan Stock Exchange
Depository Participant : CDSL

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	KRA Form and Account Opening Form (Annexure 1)	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1 to 8
		B. Document captures the additional information about the constituent relevant to Trading account and an instruction / check list.	
2.	Tariff sheet	Document detailing the rate / amount of brokerage & other charges levied on the client for trading on Stock Exchange(s).	9 to 10
3.	Rights and Obligations & Investor Charter DP & SB	Document stating the Rights & Obligations of stock broker / trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	Separate copy provided to client
4.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
5.	Guidance note	Document detailing dos and don'ts for trading on exchange, for the education of the investors.	
6.	Policies and Procedure	Document describing significant policies and procedures of the stock broker	
7.	Rights and Obligations	Rights and Obligations of Beneficial Owner and Depository Participant as Prescribed by SEBI and Depositories	
VOLUNTARY DOCUMENTS AS PROVIDED BY THE SECURITY/ COMMODITY BROKERS			
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IMPORTANT NOTE

 Signature of Client / First Holder	 Signature of Second Holder	 Signature of Third Holder	 Signature of Introducer
 Signature of Guardian	 Authorised Signatory of Member	 Signature of First Witness	 Signature of Second Witness

IMPORTANT INSTRUCTIONS

- All details to be filled in Capital Block letters in Black / Blue Ink Only.
- Email ID & Mobile number is mandatory for account related passwords and transaction details.
- Corrections in the KYC form should be counter signed.
- Strike off whichever option in the account opening form is not applicable.
- All Originals to be produced for physical verification.
- Name & address of the applicant mentioned on the KYC form should match with the documentary proof submitted.
- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities/ Commodities on behalf of company/firm/others and their specimen signatures.
- In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Types of entity	Documentary requirements
Corporate	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). - Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. - Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. - Copies of the Memorandum and Articles of Association and certificate of incorporation. - Copy of the Board Resolution for investment in Securities/Commodities market. - Authorised signatories list with specimen signatures.
Partnership firm	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Certificate of registration (for registered partnership firms only). - Copy of partnership deed. - Authorised signatories list with specimen signatures. - Photograph, POI, POA, PAN of Partners.
Trust	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Certificate of registration (for registered trust only). - Copy of Trust deed. - List of trustees certified by managing trustees/CA. - Photograph, POI, POA, PAN of Trustees.
HUF	- PAN of HUF - Deed of declaration of HUF/List of coparceners. - Bank pass-book/bank statement in the name of HUF. - Photograph, POI, POA, PAN of Karta
Unincorporated association or a body of individuals	- Proof of Existence/Constitution document. - Resolution of the managing body & Power of Attorney granted to transact business on its behalf. - Authorized signatories list with specimen signatures.
Banks/Institutional Investors	- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. - Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	- Copy of SEBI registration certificate. - Authorized signatories list with specimen signatures.
Army/Government Bodies	- Self-certification on letterhead. - Authorized signatories list with specimen signatures.
Registered Society	- Copy of Registration Certificate under Societies Registration Act. - List of Managing Committee members. - Committee resolution for persons authorised to act as authorised signatories with specimen signatures. - True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

FOR OFFICE USE ONLY

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.

I hereby declare that I have made the client aware of 'Policy & Procedures', Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents. Any change in the 'Policy & Procedures', 'Rights & Obligations', RDD and Guidance Note would be made available to our client via email and our website www.financemonitor.co.in

Details of Employee / Authorized Signatory	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	Seal/Stamp of the Intermediary
Name & E Code			
Designation			
Date	DD / MM / YYYY	DD / MM / YYYY	
Signature			



KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR NON - INDIVIDUALS ONLY)

Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

A. IDENTITY DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME
2. Date of incorporation	Place of incorporation		
3. Date of commencement of business			
4. a) PAN	b) Registration No. (e.g. CIN)		
5. Status (please tick any one):			
☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Trust ☐ NGO's ☐ Charities ☐ Bank ☐ BOI ☐ AOP			
☐ Government Body ☐ Non Government Organization ☐ Partnership ☐ Defense Establishment ☐ Society ☐ LLP			
☐ FI ☐ FII ☐ HUF ☐ FPI Category I ☐ FPI Category II ☐ FPI Category III ☐ Others Please Specify			

PHOTOGRAPH
Please affix your recent passport and sign across it

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B. ADDRESS DETAILS

1. Correspondence Address			
City/Town/Village		District	
Pin Code		State	Country
2. Contact/Mobile No		Tel (Res.)	
Tel (Off.)		Email id	
3. Specify the proof of address submitted for Correspondence Address:			
4. Registered Address			
(if different from above):			
City/Town/Village		District	
Pin Code		State	Country

C. OTHER DETAILS

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors:	If space is insufficient, enclose these details separately [Illustrative format enclosed]
2. DIN of whole time directors:	
3. Aadhaar number of Promoters/Partners/Karta	

DECLARATION

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

Name & Signature of Authorized Signatory(ies)



Date: DD / MM / YYYY

FOR OFFICE USE ONLY

☐ Originals verified and Self-Attested Documents copies received

Name		
Date	DD / MM / YYYY	DD / MM / YYYY
Authorised Signatory		

Seal/Stamp of the Intermediary

**DETAILS OF PROMOTERS/ PARTNERS/ KARTA / TRUSTEES AND WHOLE
TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC)
APPLICATION FORM FOR NON-INDIVIDUALS**

Sr. NO.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Date of Birth	Qualification	PAN	Residential / Registered Address	DIN of whole time directors /Aadhaar number of Promoters/Partners/Karta	Photograph
1								
2								
3								
4								

Name & Signature of
Authorized Signatory(ies)

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Date: DD / MM / YYYY

ANNEXURE 1 - PART 2

A. HOLDER DETAILS

First Holder's Name		PAN																	
		UID																	
		UCC																	
		EXCHANGE NAME & ID																	
Second Holder's Name		PAN																	
		UID																	
Third Holder's Name		PAN																	
		UID																	

B & C. TYPE OF ACCOUNT (Please tick whichever is applicable)

Status										Sub-Status							
☐ Body Corporate ☐ Bank ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Other (Specify _____)										To be filled by the DP							
SEBI Registration No. (If applicable)				SEBI Registration Date		D	D	M	M	Y	Y	Y	Y				
RBI Registration No.(If Applicable)				RBI Approval Date		D	D	M	M	Y	Y	Y	Y				
Nationality		☐ Indian ☐ Other (Specify)															
Nature of Business																	
* Name																	

In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

D. STOCK EXCHANGE ON WHICH ONLY YOU WISH TO TRADE

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

EXCHANGES	NSE/BSE/MSEI					
ALL SEGMENTS	CASH	FUTURE AND	CURRENCY	SLBM	MUTUAL FUNDS	DEBT

* If you do not wish to trade in any of the segments / mutual funds, please mention here _____.

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.

E. INVESTMENT / TRADING EXPERIENCE & PREFERENCE					
☐ No Prior Investment Experience ☐ Years in Equities ☐ Years in Derivatives ☐ Years in other investment related field					
F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS					
If client is dealing through the sub-broker, provide the following details:					
Sub-Brokers Name					
SEBI Registration Number					
Registered Office Address					
Telephone No.		Fax No.		Website	
G. NAME & DESIGNATION OF PERSONS AUTHORISED TO DEAL IN SECURITIES/COMMODITIES ON BEHALF OF THE COMPANY/FIRM/OTHER AND THEIR RESIDENTIAL ADDRESS					
NAME	DESIGNATION	RESIDENTIAL ADDRESS			
H. WHETHER REGISTERED WITH ANY OTHER BROKER-MEMBER (IF REGISTERED WITH MULTIPLE MEMBERS, PROVIDE ALL DETAILS)					
NAME OF BROKER	NAME OF EXCHANGE	CLIENT CODE NO.			
DETAILS OF ANY ACTION TAKEN BY SEBI/STOCK EXCHANGE/ANY OTHER AUTHORITY FOR VIOLATION OF SECURITIES/ COMMODITIES LAW/OTHER ECONOMIC OFFENCES (INCLUDING ACTION TAKEN AGAINST RELATIVES/ASSOCIATES) IN last 3 Years _____ (Notification No. / Circular No. _____)					
I. BANK ACCOUNT DETAILS (BANK 1 WILL BE CONSIDERED FOR PAYOUT OF FUNDS)					
Bank Name					
Bank Address					
City/Town/Pincode				State/Country	
Account No.				MICR Code	
Account Type	Savings/Current/Others in case of NRE/NRO			IFSC Code	
(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or) (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank.					
* In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.					
J. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002					
Gross Annual Income	☐ Upto Rs. 1,00,000 ☐ Rs. 1,00,000 to Rs. 5,00,000 ☐ Rs. 5,00,000 to Rs. 10,00,000				
	☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs. 25,00,000 to Rs. 1,00,00,000 ☐ More than Rs.1,00,00,000				
	OR Net Worth in ₹ _____ (*Net worth should not be older than 1 year) as on date DD / MM / YYYY				
	(* Net worth should not be older than 1 year)				
Please tick if you are / any of the authorised signatories / Promoters / Partners / Karta / Trustees / Time Directors is either,					
☐ Politically Exposed Person (PEP) or ☐ Related to Politically Exposed Person (RPEP)					
Please provide details as per Annexure 2.2A					
K. DEPOSITORY ACCOUNT DETAILS					
Depository	☒ CDSL ☐ NSDL ☐ CP ☐ RP			DP ID	12032400
DP/ CP/ RP Name	FINANCE MONITOR (INDIA) PVT LTD			BO ID	
Client Name					

L. INTRODUCER				
Status of Introducer	☐ Sub-broker ☐ Remisier ☐ Authorised Person ☐ Employee ☐ Existing Client ☐ Others (Specify)			
Name of the Introducer				
Address				
Tel No.			Signature of the AP / Introducer 	
Introducer PAN No.				
M. DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) / OTHER STOCK BROKERS				
If Yes, please specify:				
Name of Stock Broker			Name of SB/AP	
Name of Exchange			Client Code (as given by other broker)	
Details of disputes/dues pending from/to such stock broker/sub-broker:				
Whether you are a Member / Sub-broker / AP of any Exchange				
If yes, provide SEBI REGISTRATION NO:				
N.CLEARING MEMBER DETAILS (TO BE FILLED UP BY CLEARING MEMBERS ONLY)				
1	Name of Stock Exchange			
2	Name of Clearing Corporation / Clearing House			
3	Clearing Member ID			
4	Trading ID			
O. PAST REGULATORY ACTIONS				
Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / Commodity Exchange / any other authority against the client or its Partners / Promoters / Whole time directors / authorized persons in charge during the last 3 years:				
P. GST REGISTRATION DETAILS				
Registration No :			Name of the State :	
ANNEXURE VIII				
DECLARATION OF HUF				
We hereby confirm and declare that the following members consist of _____ (HUF)				
Sr.No.	Name Of Member	Date Of Birth	Relation with Karta & Sign	
1.				
2.				
3.				
4.				
Q.FINANCIAL DETAILS				
	Name	P.A.N No.	UID	
Sole/First Holder				
Second Holder				
Third Holder				
R. MODE OF OPERATION FOR SOLE/FIRST HOLDER (IN CASE OF JOINT HOLDINGS, ALL THE HOLDERS MUST SIGN. In case of HUF this is not applicable)				
☐ Any one singly		☐ As per resolution		
☐ Jointly by		☐ Others (please specify)		

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name			
Designation			
Signatures	 FH 14/27	 SH 1/5	 TH 1/5
Passport size Photograph	 (Please sign across the photograph) FH 15/27	 (Please sign across the photograph) SH 2/5	 (Please sign across the photograph) TH 2/5

S. STANDING INSTRUCTIONS

Whether you wish to receive Physical Contract Note (PCN) or Electronic Contract Note (ECN)	☐ Electronic ☐ Physical
Whether you wish to receive rights & obligation, uniform RDD, Do s & Donts either in electronic form or physical note	☐ Electronic ☐ Physical
Whether you wish to avail of the facility of internet trading/ wireless technology	☐ Yes ☐ No
Margin Trading Facility (Refer Rights & Obligation document)	☐ Yes ☐ No
Account to be operated through Power of Attorney (PoA)	☐ Yes ☐ No
Whether you wish to receive communication from Member in electronic form on your Email-id (If Yes, then please fill in Appendix - A)	☐ Yes ☐ No
Whether you wish to receive 'Policy & Procedures', RDD, Rights & Obligations of Members and Guidance Note - Do's & Don'ts in electronic form on your Email-id.	☐ Yes ☐ No

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	Mobile No. <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> [(Mandatory , if you are giving Power of Attorney (POA)] [If POA is not granted & you do not wish to avail of this facility, cancel this option].											☐ Yes ☐ No
Transactions Using Secured Texting Facility (TRUST). Refer to Terms & Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the terms and conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name/ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)							☐ Yes ☐ No	
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)										
easi	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.											
Receive Delivery Instruction Slip	☐ OPTION 1: I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. ☐ OPTION 2: I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with _____(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.											
I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')		[Automatic Credit] ☐ Yes ☐ No										
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')		☐ Yes ☐ No										
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____		☐ Yes ☐ No										
I/We would like to share the email ID with the RTA		☐ Yes ☐ No										
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be Electronic)		☐ Electronic ☐ Physical ☐ Both Physical and Electronic										
I/ We wish to receive dividend/interest directly in to my bank account as given below through ECS(If not marked, the default option would be Yes) [ECS is mandatory for locations notified by SEBI from time to time]		☐ Yes ☐ No										
Account Statement Requirement	☐ As per SEBI regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly											
* [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]												

Details of Politically Exposed Persons (PEP/Related to Politically Exposed Person (RPEP), (For Non-Individual)

Name of Holder

PAN of the Holder

Sr. No.	Name of the Authorised signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors	Relation with the holder (i.e promoters, whole time directors etc)	Please tick the relevant option.
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP

Name & Signature of Authorized Signatory(ies)



Date: DD / MM / YYYY

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PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

(First/Sole Holder Signature)

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained & understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', 'Guidance Note and Policies and Procedures'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website www.financemonitor.co.in
- I/We further confirm having received the following documents by way of a separate booklet:
 - Rights and Obligations**
 - Risk Disclosure Documents**
 - Guidance Note**
 - Policies and Procedures**
- 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 Participant".
- As per regulation 19 & 20 of SECC Regulation, I/We hereby confirm and declare that I/We are fit and proper person towards eligibility for acquiring/ executing/holding securities of the listed exchanges.
- I/We hereby authorize FMIPL to debit the trading account mentioned with Finance Monitor (India) Pvt Ltd for the debit charges payable to Finance Monitor (India) Pvt Ltd, as a Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us

FH
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(First/Sole Holder Signature)

SH
3/5

(Second Holder Signature)

TH
3/5

(Third Holder Signature)

Date: DD / MM / YYYY

Place :

BROKERAGE DETAILS

Cash Market / Capital Market							
Jobbing				Delivery			
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No	
1st Side							
2nd Side(Same Day Sq. Off)							
Future & Option Derivatives							
EQUITY FUTURE				EQUITY OPTION			
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No	
1st Side							
2nd Side(Same Day Sq. Off)							
Currency Market							
CURRENCY FUTURE				CURRENCY OPTION			
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No	
1st Side							
2nd Side(Same Day Sq. Off)							
FUTURE COMMODITIES MARKET							
Jobbing				Delivery			
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No	
1st Side							
2nd Side(Same Day Sq. Off)							
Commodity Option Market				Options In Derivatives			
Brokerage on side	Min	Max (%)	Per lot	Slab No	Crude / Silver / Other		Gold
1st Side					One Side	Both Side	One Side Both Side
2nd Side (Same Day Sq.Off)							
Spot Commodities Market							
Jobbing				Delivery			
Brokerage on Side	Min	Max (%)	Slab No	Min	Max (%)	Slab No	
1st Side							
2nd Side(Same Day Sq. Off)							

OTHER CHARGES

Stamp Duty ☒ Statuary Charges ☒ Transaction Charges ☒ GST ☒ STT ☒ CTT ☒ SEBI Fees ☒

CHARGES FOR DEPOSITORY SERVICES

Sr.No.	Service	Individual	Corporate
1.	Dematerialisation	Rs. 200 per request + Rs. 50 per certificate.	Rs. 200 per request + Rs. 50 per certificate
2.	Rematerialisation	Rs. 50 per certificate	
3.	Equities - Transfer Fees - Market & off Market	Rs. 32 per transaction + tax	
4.	Pledge Creation / Closure / Invocation	Rs. 60 per transaction + tax	
5.	Account Maintenance Charges (AMC Per Annum-Pro -Rata)	Upto 2Lakh Market Value : NIL Rs. 420 p.a. + tax	Rs.1000/- p.a. upfront
6.	Other Charges	Duplicate DIS : Rs. 200 Courier : Rs. 100 Printing: Rs. 150 per month	Duplicate DIS : Rs. 200 Courier : Rs. 100 Printing: Rs. 150 per month

Notes:

- Minimum Brokerage will be applicable for F&O trading.
- Brokerage rate will not exceed the maximum rate as prescribed by SEBI / Exchanges.
- All regulatory and statutory levies will be charged at Actual to the client, based the rate prevailing from time to time.
- Fees schedule based on existing CDSL charges and is subject to change at the sole discretion of the Finance Monitor (India) Pvt. Ltd. after giving 30 days notice.
- GST Tax extra as applicable.
- All charges are payable monthly.
- All reference prices will be BSE price.
- There will be No on Market Transfer Charges for Pay In into Finance Monitor (India) Pvt. Ltd. w.e.f. 01.04.2006.
- I/We authorise NBSPL to collect my/our DP charges from my trading account.
- For Electronic Delivery through MCX / NCDEX / ICEX client need to open separate respective COMRIS / COMTRACK /EDCM account with participant. Separate charges with applicable taxes if any will be debited in client's ledger account.
- In case of intra day transaction in Commodity contract first leg rates as above shall be charged on the buy value or sell value depending upon whichever is higher and second leg rates shall be charged vice versa.
- Commission of Clearing & Forwarding Agent/Commission agents, if appointed on behalf of clients for the purpose of taking of deliveries will be charged at actual.
- Statutory levies including but not limited to Commodities Transaction Tax, GST on brokerage & charges, Stamp duty, Turnover charges, SEBI turnover fees & RMS fees shall be levied as per the rates applicable from time to time.
- Finance Monitor (India) Pvt. Ltd. reserves the right to revise the tariff structure from time to time at its sole discretion, under advance intimation to clients either by way of ordinary post or by an email or by SMS or by notification on the back office interface.

FH
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(First/Sole Holder Signature)

SH
4/5

(Second Holder Signature)

TH
4/5

(Third Holder Signature)

Date: DD / MM / YYYY

Place :

APPENDIX A ELECTRONIC CONTRACT NOTE [ECN] DECLARATION (VOLUNTARY)

To,

Finance Monitor (India) Pvt. Ltd.,
403-B, Dalamal Chambers,
29, New Marine Lines,
Churchgate, Mumbai 400020

Dear Sir,

I, _____ a client with Member M/s Finance Monitor (India) Pvt. Ltd. of
NSE/ BSE/ MCX Exchange undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I/ myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my 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.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____
This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- I 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 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.)

Client Name			
Client Code	Pan No		
Address			
City	Pin Code		
Date			
Place	Client Signature		
Verification of the client signature done by,			
Name of the designated officer of the Member			
		Signature	
Date	Employee Code		

CLIENT DECLARATION - OPEN INTEREST POSITION

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Security/ Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any Security/ Commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that I / we will not exceed the position limits prescribed from time to time by Security/ Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.

I/We undertake to inform you and keep you informed if I / any of our partners / directors / karta / trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such

person is a partner / director / karta / trustee, takes or holds any position in any Security/ Commodity forward contract / Security/ Commodity derivative on Exchanges through you or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the referred circular of Exchanges as modified from time to time.

I/We confirm that you have agreed to enter order in Security/ Commodity forward contracts / Security/ Commodity derivatives for me / us as your clients on Security/ Commodity Exchanges only on the basis of our above assurances and undertaking.

I/We further undertake to bear any liable/penalty/charges levied by Security/ Commodity Exchanges / SEBI.

Client Signature

FH
20/27

APPENDIX A RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)

I/We having Client Code are dealing through you as a client for BSE /NSE/MSEI in Capital Market and / or Future & Option segment and / or Currency Derivatives and /or interest rate future MCX, NCDEX & ICEX & 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 retain securities / commodities with you for 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 to transfer the same to my / our account.

3.I/We request you to settle my/our funds and securities / commodities account once in every calendar **Quarter/ Month** (strike out whichever is not applicable) except the funds given towards collaterals / margin inform of Bank Guarantee and / or Fixed Deposit Receipt.

4.In case I/ We have an outstanding obligation in derivative market on the settlement date, apart from margin liability you may retain additional margins (maximum up to 125% of

margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 trading days.

5.I/We hereby authorize you to retain amount in my account up to Rs. 10,000/- (Net amount across segments and across stock exchanges) until specific instructions are given by me/ us for release of the said amount. Further, I/We understand that this threshold limit is not applicable in case. If I/We have not traded even once during the last one **Month / Quarter** then settlement shall be done as per the SEBI circular in such cases.

6.In respect of Cash Market transactions, you may retain entire pay-in obligation of funds and securities / commodities due from me/us as on date of settlement. Further, for next day's business, you may retain funds / securities / commodities / margin to the extent of value of transactions executed on the day of such settlement in the cash market only.

7.I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds /securities /commodities or statement of account or statement related to it, as the case maybe. I/we, however, reserve my/our right to revoke this authorization at anytime in writing.

Client Signature

FH
21/27

SAME MOBILE NUMBER/EMAIL OR BOTH FOR TRADE CONFIRMATION

I _____ a client of Finance Monitor (India) Pvt. Ltd. (FMIPL) with client code _____, hereby confirm that I am a family member :

☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent

Parent of your client

_____ (herein referred as master client) having client code _____.

I request and give you the mandate to

provide the SMS/Email/both (SMS & Email) confirmation on the same mobile number and Email ID as that of the Master client as mentioned in the KYC Application form.

I hereby understand all the risk that can arise in future due to this and take all the responsibilities for the same. I also agree that FMIPL will not be responsible for any loss/problem/unauthorized trading claim if arises in any of the scenario out of this.

Client Signature

FH
22/27

ARRANGEMENT WITH SUB-BROKER / AUTHORISED PERSON

I/We confirm that I/we have been introduced to Finance Monitor (India) Private Limited (FMIPL) by a Sub Broker (SB)/an Authorised Person (AP) (as per mentioned below) appointed by FMIPL pursuant to relevant Exchange(s) norms. In this connection I/we am/are aware of the following: The SB/AP shall not receive or pay any money or securities/commodities in his/her/its own name or account. All receipts and payments of securities/commodities and funds shall be made only in the name of the FMIPL; The SB/AP shall receive his/its remuneration-fees, charges, commissions, salary etc for his/its services only from the FMIPL and he/she/it shall not charge any amount whatever from the client; In view of the foregoing, I/we acknowledged that the SB/AP is not authorised by FMIPL to enter into any private arrangement with any clients of FMIPL including those introduced by him/her/it.

I/we further agree and accept that I/we will not hold FMIPL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of any error of commission or omission by the SB/AP with regard to any dealing and or transaction based on or transactions base on or resulting out of any private agreements (if any). Between me/us and the SB/AP, I/we agree that all debit instruction slips and other documents in respect of my/our depository Beneficial Owner account with Finance Monitor (India) Private Limited (FMIPL) shall not be left in the custody of the SB/AP, either blank, partially filled up and/or executed/signed. I/ we further agree and accept that I/we will not hold FMIPL responsible for any loss, damage, other liability or consequence, direct or indirect, arising out of my/our action in leaving such blank, partially filled up and/or executed/signed documents with the SB/AP.

Client Signature

FH
23/27

I/We hereby agree for the arrangement with the client
Accepted by ☐ Sub- Broker ☒ Authorised Person

SB/AP Signature

FH

SB/AP Name

AUTHORISATION FOR TRANSFER OF FUNDS AND / OR SECURITIES/ COMMODITIES, INTER SEGMENT AND INTER

I / We hereby authorize you as under:

- 1.To transfer funds and/or securities / commodities from my /our account in one segment against my/our obligations in an other segment in the same exchange or different exchange.
- 2.To transfer funds and/or securities / commodities from my /our account in one in one segment against collaterals/ margin for my/our trade in another segment against collaterals /margin for my/our trade in another segment in the same Exchange or different Exchange.
- 3.I/We am/are aware that the funds means monies that is lying as credit in my/our account or pay-outs that are to be

received from the exchanges arising out of sale securities / commodities. Similarly, I/We am/are aware that securities / commodities means, shares lying with you, on my/our behalf, for which I/We have fully paid for or margin or shares that are to be received as pay-out from the Exchange/s.

The above transfer of funds can be done either by way of journal entry (JV) or by way of physically exchanging cheques. In case if I/We wish to withdraw this authorization, I/We shall inform FMIPL in writing and acknowledge by FMIPL at least 15 day in advance from the date of withdrawal.

Client Signature

FH
24/27

1. Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only .

2. Refusal of orders for Security/Commodity Derivatives

The client is aware and agrees that the Finance Monitor (India) Pvt. Ltd. may refuse or restrict a client in placing the order in certain securities/ commodities depending on various Conditions like volume/value/ part of illiquid securities/ commodities although a client may have credit balance or sufficient margin in the trading account. However, Finance Monitor (India) Pvt. Ltd. under exceptional circumstances may execute cliental order. The Finance Monitor (India) Pvt. Ltd. has the discretion to reject execution of such orders based on its risk perception.

3. Setting up client s exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place a) through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities/commodities in respect of b) which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/ market level limits in security/commodity specific/volume specific exposures etc.). and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities/commodities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not c) limited to the reason of lack of margin/securities/ commodities or the order being outside the limits set by stock broker/exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security/commodity as per VAR based margining system of

the stock exchange and/or margin defined by RMS based on their risk perception.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

4. Imposition of penalty / delayed payment charges:

4.1 In case of delay in payment by the client to FMIPL on its due date , FMIPL in respect of such delayed payment will be entitled to recover late/delayed payment charges from due date . The said delayed payment shall include amounts payable by the client to FMIPL in respect of Initial margin , Mark to Market , shortfall of Margin(s) in prescribed modes, and /or other margins and pay in obligations .Late payment charges will be levied up to 2% per month or a part of month on delayed payment for the delayed period . The trade of the client may not be executed by FMIPL if the client does not clear trade related dues along with delayed payment charges. The client will not be entitled to any interest on the credit balance /excess margin available /kept with FMIPL.

4.2 A delayed payment charge is applied to act only as deterrent measure . The client should not consurate it as funding arrangement. The client cannot demand continuation of service on a continued basis citing levy of delayed payment charges .

4.3 PL may impose fines /penalties for any order /trades /deal /actions of the clients which are contrary to this mandatory and voluntary Client Registration documents / rules /regulations /byelaws of the exchange or any other law for the time being in force at such rates and in such form as it may deem fit . Further where the PL has to pay any fine or bear any punishment from any authority in connection with/as a consequence of /in relation to any of the order /trades /deal/actions of the client , the same will be borne by the client .

5. Shortage in Obligations arising out of internal netting trades.

Finance Monitor (India) Private Limited (FMIPL) has revised its policy for settling transaction, which remains unsettled due to Internal Shortages: Internal Shortages means one client has failed to give the delivery of the securities/commodities sold, which has resulted into short delivery to other client(s) of FMIPL. The Client hereby agrees that if he/she/it has short delivered any securities/ commodities against his/her /its obligation towards counter party who is a client of FMIPL and the delivery of the securities/commodities was also not effected through auction in the market (Self Auction) for any reason including that self-auction is not permitted on the exchange, then the contract shall be closed out and the close out price will be higher of: (a) The highest price of the securities/ commodities prevailing in NSE or as the case may be BSE on the date of commencing from the date of transaction till the day of auction relevant to the trade (auction day) or (b) The closing price for the securities/commodities on the auction day as increased by 3% of the closing price for F&O traded scrip or 7 % for other scrip or such other % as

may be revised by FMIPL from time to time. The amount so determined shall be debited to the account of the client who defaulted to deliver and the same amount will be credited to Buyer Client.

Compulsory Close-out of securities/commodities under Corporate Action

In cases of securities/commodities having corporate actions and under 'no-delivery period' for the corporate action, all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction pay-out is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day. Accordingly, if a client fails to give the delivery of the securities/commodities sold, which if resulted into Internal Shortage, such client will be debited for the transaction at the rates prescribed above. Similarly, if FMIPL is unable to give the delivery of the securities/commodities bought by any client due to the Internal Shortage, such client will receive the credit for the transaction at the rates prescribed above.

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

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability /shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/ outstanding debts.

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

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.

On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

8. De-registering a client :-

Notwithstanding anything to the contrary stated in the mandatory and non-mandatory client registration documents, the stock broker shall be entitled to terminate the mandatory and non-mandatory client registration documents with immediate effect in any of the following circumstances:

- (i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities/ commodities or disturb the normal/proper functioning of securities/commodities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against

the client under any law in force;

- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other mandatory and non-mandatory client registration documents with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this mandatory and non-mandatory client registration documents;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security/Commodity;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

9. The Client agrees that FMIPL will not be responsible for partial execution of orders placed by the Client. The Client also agrees that all orders placed by him shall be treated as orders for that particular session only. In case the Client wants the orders to be carried forward or extended for the day or for more number of days he shall communicate the same to FMIPL.

10. Undertaking for Services by way of SMS alerts / Whatsapp or any electronic mode by Trading Member on Mobile /Cellular phones or any other electronic gadgets.

I / we are having a trading account with Finance Monitor (India) Pvt. Ltd. for the purpose of trading on Exchanges as per the client registration document executed. I / we have registered the Mobile No. as mentioned in KYC Application form for receiving SMS alerts in respect of various services being offered by you including Trading Calls.

A. In respect of investment/trading advisory services received from the trading member, I/We undertake to the trading member and confirm to use our own judgement in taking a call on the said investment(s). I/We also undertake to the trading member and confirm that I/we execute trades in the identified security/commodity(s) according to my/our financial strength/capability.

I/We declare and agree that the trading member shall not be responsible for any loss suffered by me/us on account of executing or omitting to execute any trades in pursuance of the SMS alerts(s) and / or investment advises sent by the trading member.

I/We shall not have any claim whatsoever against the trading member in respect of the above mentioned acts or omissions.

I /We hereby state that my number is not under Do Not disturb directory and I /We am availing this services on my own will and there will be no financial obligation of PL in case of legal disputes.

B. In respect of all other intimation services offered by the trading member, I/We undertake to indemnify the trading member and absolve the trading member of any claims on account of various services rendered to me/us in respect of servicing my trading account with them.

11. Digitally signed Contract Notes/ Statement of Accounts: The Client hereby agrees and permits FMIPL to provide digitally signed contract notes through internet (web-based) and agrees as under:

11.1 With reference to Client Registration documents executed between us, I/We hereby authorized you to do the following:

11.2 I / We have been / shall be dealing through you as my / our broker on the Capital Markets and/or Future and Option Segments. As my / our broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my /our behalf as per instructions given below.

11.3 I / We understand that, I / we have the option to receive the contract notes, Client Margin information, Statement of fund & Securities/Commodities, DP statements, DP Bills and other details in physical form or electronic form. In pursuance of the same, I / we hereby opt for receipt of contract notes, Client Margin Information etc in electronic form. I / We understand that for the above purpose, you are required to take from the client an appropriate email account for you to send electronic contract notes. Accordingly, please take **Email ID mentioned in this KYC application form** for sending the contract notes and other documents to me / us.

11.4 I / We agree not to hold you responsible for late / non receipt of contract notes, Client Margin information and other details sent in electronic form and any other communication for any reason including but not limited to failure of email server, loss of connectivity, email in transit etc. I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes, Client margin information to me / us and shall not be disputed by me / us on account of any non receipt / delayed receipt for any reason whatsoever.

11.5 I / We also agree that non - receipt of bounced mail notification by you shall amount to delivery at my email account(s) / email id(s).

11.6 I / We understand that I / we am / are required to intimate any change in the email id / email account mentioned herein above needs to be communicated by me / us through a physical letter to you, provided however that if I / we am / are an internet client then in that event the request for change in email id / email account can be made by me / us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. 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.

12. Investment Advice:

12.1 The client acknowledges that FMIPL shall not be liable to

provide him any legal, tax, investment or account advice or advice regarding the suitability or profitability of a security/commodity or investment.

12.2 The client agrees that in the event of Security/Commodity broker or any employee or official of Security/Commodity broker providing any information, recommendation or advice to the client, the client may act upon the same at the sole risk and cost of the client and PL shall not be liable or responsible for the same. The client assumes full responsibility with respect to his investment decisions and transactions. The Client agrees not to have any arrangement or understanding with any of the employee and/or remitter and /or franchisee and/or authorized person of any nature whatsoever in respect of transactions of purchases or sales of the shares and/or derivatives transactions and/or any fixed return of profit etc.

12.3 PL, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the client.

13. Tape recording of client conversation:

The client is aware that FMIPL may tape-record the conversations between the client and FMIPL, either personally or over the telephone, and the client hereby specifically permits FMIPL to do so. Such electronic recordings may be relied upon by FMIPL as and when required to resolve disputes in connection with the trading transactions. However in the event if such conversation are not recorded by FMIPL. I/We shall not hold FMIPL responsible for non recording of such conversation

14. Letter of Authority: I / We have been regularly trading and investing, or plan to do so, with you at BSE / NSE / MSEI / MCX / NCDEX / ICEX. To facilitate ease of operations, I / we request and authorize you as under:

14.1 My/our orders for purchase/ sale of securities/commodities will be given on telephone or orally during my/ our visit to your office. I / We further declare that all orders placed by me/ us with you will be for my/ our personal/ family account (s) and that I / we will not operate for any client and will not issue any further contracts/ bills for the transactions executed through you.

14.2 I/We hereby authorise you to undertake any transfer inter-se of funds, securities/commodities, debits & credits available between various exchanges.

14.3 I am/we are aware that you are required to issue payment/ delivery due to me/us as per the payout from the exchange. In order to facilitate operations, I/we hereby authorize you to maintain running accounts with you; to debit my/our running account for the margin/ funds & / deliveries payable by me/ us; to include any/all the pay out of funds & / or deliveries towards margin / delivery and/or towards pay in obligations and / or towards fund/deliveries payable by me/ us, without any specific.

14.4 I / we also agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such deliveries/funds under this agreement or otherwise.

14.5 Pledge / deposit my / our deliveries & / or funds whether deposited as collateral /margin or permitted by us to be retained in the running account etc. by you with any bank or any other institution including but not limited to the Exchanges (s) /Clearing Corporation / Clearing House for

the purposes of raising funds, bank guarantees and FDRs etc., or towards Margin / collateral as also to meet shortfall in my / our fund/ deliveries pay in obligation/ auctions or assignment of contracts or any other liability arising out of my/our dealings with you/ through you I/ we authorize you to do all such acts deeds and things as may be necessary and expedient for placing such deliveries with the Exchanges/banks/institutions as margin. You are further authorized to sell/ liquidate these deliveries /FDRs at the time and manner of your choice, as & when deemed fit by you in your absolute discretion to meet any shortfalls in my/ our accounts or any other liability of mine/ ours without any reference to me/ us.

- 14.6** I / we agree that any loss due to any erroneous order entry / erroneous order modification shall be entertained by you only to the extent of insurance received.
- 14.7** I/We authorise you to maintain my/ our account, both funds and securities/commodities, with you on a running account basis and request you to consider the balances in my/ our running funds and securities/commodities account with you for the purpose of margins/ any other obligations due to you. In view of the same it would be proper for you to release the funds and securities/commodities due to me/ us on my/ our specific request, either written or oral. Further I/ we understand and agree that any credit amount lying with you will not attract any interest.
- 14.8** I/We agree and authorise you debit charges for depositories services and any other incidental charges to my / our running account.
- 14.9** I/We authorise you to liquidate/ close out all or any of my/ our positions for non-payment of margins or other account, outstanding debts etc. I/We agree to bear any and all losses and financial charges on account of such liquidation/ closeout.
- 14.10** I/We agree that you may refuse to execute any particular transaction without assigning any reason therefor.
- 14.11** I/We agree not to hold you liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war, strikes, failure of systems, failure of internet links, Government/ regulatory actions or any such other contingencies which may be beyond your control.

15. Declaration:

- 15.1** I/We an individual/a sole proprietary concern _____ having his/her/it's residence / registered office at _____ - _____ has entered into individual mandatory and non-mandatory client registration document, Client Registration Form, Risk Disclosure Documents, etc. for dealing in Cash Segment and/or Derivatives / Futures and Options Segment of National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE)/ Metropolitan Stock Exchange of India Limited (MSEI) (NSE and BSE and MSEI collectively known as Exchange) on _____ and _____.
- 15.2** I / We hereby declare that I am a regular investor in the stock markets in India. I / We am / are conversant with the laws, practices, rules, regulations, guidelines, circulars, etc. prescribed by the Securities/ Commodities and Exchange Board of India (SEBI) and National Stock Exchange of India

Limited. (NSE) and Bombay Stock Exchange Limited (BSE) and Metropolitan Stock Exchange of India Limited (MSEI).

- 15.3** I/We hereby further declare that I am holding the shares in my demat account no. _____ with DP _____ I/We hereby further declare that I/We will not give any third party shares for settlement of my obligations to the Exchange.
- 15.4** I / We hereby further declare that I / We will not receive or give any monies in cash or in kind for completing the settlement obligations to the Exchange. I / We hereby further declare that I / We are aware of the illegal practices that are prevalent in the Stock Market. I/We hereby further declare that I will not carry out any unfair trade practices such as Synchronized deals, Structured deals, Circular Trading in the Cash / Capital Market and Derivatives / Futures and Options segment. I/We hereby further declare that I/We will not place any order on the Exchange which will reflect as an arrangement for profit or loss transactions.
- 15.5** All the orders placed on the exchange will be in the normal market where there is corresponding underlying securities/ commodities positions in the cash or futures segment of the respective Exchange.
- 15.6** I hereby further declare that I am aware of the following provisions of laws applicable to the Securities/ Commodities Market.
- (A)** Section 11 of the SEBI Act, 1992 read with 11B inter alia prescribed that 11 (4) Without prejudice to the provisions contained in sub-section (1) (2) (2A) and (3) of 11B, the Board may, by an order for reasons to be recorded in writing, in the interests of investors or securities/ commodities market, take any of the following measures, either pending investigation or inquiry or on completions of such investigation or inquiry, namely: -
- (b)** restrain person from accessing the securities/ commodities market and prohibit any person associated with securities/commodities market to buy, sell or deal in securities/commodities.
- (B)** Section 4 Prohibition of manipulative, fraudulent and unfair trade practices
- 15.7** Without prejudice to the provisions of regulation 3, no person shall indulge in a fraudulent or an unfair trade practices in securities/commodities.
- 15.8** Dealings in securities/commodities shall be deemed to a fraudulent or an unfair trade practices if it involves fraud and may include all or any of the following namely:-
- (a)** indulging in an act which creates false or misleading appearance of trading in the securities/commodities market;
- (b)** dealing in a security/commodity not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security/commodity for wrongful gain or avoidance of loss;
- (c)** advancing or agreeing to advance any money to any person thereby inducing any other person to offer to buy any security/commodity in any issue only with the intention of securing the minimum subscription to such issue;
- (d)** paying, offering or agreeing to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security/commodity with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security/commodity;

(e) any act or omission amounting to manipulation of the price of a security/commodity;

(f) publishing or causing to publish or reporting or causing to report by any person dealing in securities/commodities any information which is not true or which he does not believe to be true prior to or in the course of dealing in securities/commodities;

(g) entering into a transaction in securities/commodities without intention of performing it or without intention of change of ownership of such security/commodity;

(h) selling, dealing or pledging of stolen or counterfeit security/commodity whether in physical or dematerialised form;

(i) an intermediary promising a certain price in respect of buying or selling of a security/commodity to a client and waiting till a discrepancy arises in the price of such security/commodity and retaining the difference in prices as profit for himself;

(j) an intermediary providing his clients with such information relating to a security/commodity as cannot be verified by the clients before their dealing in such security/commodity;

(k) an advertisement that is misleading or that contains information in a distorted manner and which may influence the decision of the investors;

(l) an intermediary reporting trading transactions to his clients entered into on their behalf in an inflated manner in order to increase his commission and brokerage;

(m) an intermediary not disclosing to his client transactions interceded into on his behalf including taking an option position;

(n) circular transactions in respect of a security/commodity entered into between intermediaries in order to increase commission to provide a false appearance of trading in such security/commodity or to inflate or depress or cause fluctuation in the price of such security/commodity;

(o) encouraging the clients by an intermediary to dealing in securities/commodities solely with the object of enhancing his brokerage or commission;

(p) an intermediary predating or otherwise falsifying records such as contract notes;

(q) an intermediary buying and selling securities/commodities in advance of a substantial client order or whereby a future or option position is taken about an impending transaction in the same or related futures or options contract;

(r) planting false or misleading news which may induce sale or purchase of securities/commodities.

15.9 I / We hereby further declare that I/ We will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons / entities. In the event of any of the above fraudulent or unfair trade practices is noticed by the Exchange or Regulatory Authorities, then I/We shall be solely responsible for such acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the capital market segment and Futures and Options segment of the exchange. I shall bear the penalty or fine if incurred by FMIPL due to such fraudulent or unfair trade practices as mentioned above.

15.10 In case of any change in my US person status on a future date, I undertake to inform M/s. Finance Monitor (India) Private Limited the same within 30 days. I agree that if I have confirmed that I am a USA person, my account would be considered as U.S. Reportable Account and my account details, as required under Inter Governmental Agreement (IGA) signed by Indian Government, would be reported by M/s. Finance Monitor India Private Limited to the relevant tax authority identified in IGA.

15.11 I/We hereby authorised M/s. Finance Monitor (India) Pvt. Ltd. (Broker BSE, NSE & MSEI) to deposit the collateral provided by me onward to the exchange / clearing corporation / clearing house towards the margin obligations.

16. Proprietary Trading:

The stock broker hereby states & inform that it undertakes proprietary trading in Exchanges in addition to client based trading.

Client Signature

FH
25/27

Details of Ultimate Beneficial Owner (UBO) Including Additional FATCA & CRS Information

APPLICANT DETAILS

1. Name of the entity	FIRST NAME	MIDDLE NAME	LAST NAME
2. Type of address given at KRA	☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office		
3. Customer ID / Folio NO			4. PAN
5. Date of incorporation DD / MM / YYYY	6. City of incorporation	7. Country of incorporation	
8. Entity Constitution	☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ Trust H Liquid ator ☐ AOP/BOI ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others <u>Specify</u>		

9. Please tick the applicable Tax resident declaration

Is "Entity" a tax resident of any country other than India? ☐ Yes ☐ No

Country	Tax Identification Number %	Identification Type (TIN or Other %, please specify)

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

10. In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

* 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.

FATCA & CRS Declaration (Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

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

1. We are a	☐ Financial institution ☐ Direct reporting NFE (please tick as appropriate)		
2. GIIN	3. Name of sponsoring entity		
4. GIIN not available (please tick as applicable) ☐ Applied for			
5. If the entity is a financial institution	☐ Not required to apply for – please specify 2 digits sub-category ☐ ☐ Not obtained - Non-participating F1		

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

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

Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market)	Yes ☐ (If yes, please specify anyone stock exchange on which the stock is regularly traded)	Name of stock exchange	
Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established security market)	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	
		Name of Stock exchange	
		Nature of relation	☐ Subsidiary of the Listed Company ☐ Controlled by a Listed Company
Is the Entity an active ³ NFE	Yes ☐ (If yes, please fill UBO declaration in the next section.)	Nature of Business	
		Please specify the sub-category of Active NFE (Mention code - refer 2c of Part D) ☐ ☐	
Is the Entity a passive NFE	Yes ☐ (If yes, please fill UBO declaration in the next section.)	Nature of Business	

UBO Declaration				
Category (Please tick applicable category)				
☐ Unlisted company	☐ Partnership Firm Public	☐ Limited Liability Partnership Company		
☐ Unincorporated association/body of individuals	☐ Charitable Trust Others	☐ Religious Trust		
☐ Private Trust	☐ Others			
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).*				
Owner - documented FFI'S should provide FFI Owner Reporting statement and auditor's Letter with required details as mentioned in the Form W8 BENE				
Name - Beneficial owner / Controlling person		Tax ID - TIN or Other, please specify		Address - Include State, Country, PIN / ZIP Code & Contact Details
Country - Tax Residency*	Type Beneficial Interest - in percentage	Type Code	Address Type -	
Tax ID No - Or functional equivalent for each country				
Name:	Tax ID Type:	Address:		
Country:	Type Code:	Zip:		
Tax ID No.	Address Type	☐ Residence ☐ Business	State:	
	☐ Registered office	Country:		
Name:	Tax ID Type:	Address:		
Country:	Type Code:	Zip:		
Tax ID No.	Address Type	☐ Residence ☐ Business	State:	
	☐ Registered office	Country:		
Name:	Tax ID Type:	Address:		
Country:	Type Code:	Zip:		
Tax ID No.	Address Type	☐ Residence ☐ Business	State:	
	☐ Registered office	Country:		

If passive NFE, please provide below additional details (Please attach additional sheets if necessary)				
PAN / Any other Identification Number (PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)		Occupation Type: Service, Business, Others		DOB: Date of Birth
City of Birth- Country of Birth		Nationality: Father's Name: Mandatory if PAN is not available		Gender: Male, Female, Other
1. PAN		Occupation Type		Date Of Birth
City of Birth		Nationality		Gender ☐ Male ☐ Female ☐ Other
Count of Birth		Father's Name		
2. PAN		Occupation Type		Date Of Birth
City of Birth		Nationality		Gender ☐ Male ☐ Female ☐ Other
Count of Birth		Father's Name		
3. PAN		Occupation Type		Date Of Birth
City of Birth		Nationality		Gender ☐ Male ☐ Female ☐ Other
Count of Birth		Father's Name		

Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India:

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

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

5 Refer 3(vi), 11 Refer 3(iv)(A) of Section 6.

FATCA - CRS Terms and Conditions

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certification and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with Nirmal Bang Mutual Fund or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information held along with the US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name	
Designation	
Signature	

Place :

Date : DD / MM / YYYY

Participant-Client Agreement for Securities Lending and Borrowing

This agreement is made and executed at _____ on this _____ day of _____ 2022.

Between:

M/s. Finance Monitor (India) Pvt. Ltd. a body corporate, registered Companies Act. 1956, having his registered office at 403-B, Dalamal Chambers, 29, New Marine Lines, Mumbai – 400 020 hereinafter referred to as "Participant" (which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his /her heirs, executors and administrators / the partners of the said firm for the time being, the survivor or survivors of them and the heirs, executors and administrators of such last survivor / its successors and legal representatives, as the case may be) of the One Part;

And

Mr./Ms./M/s. _____, an individual / a proprietary concern / a partnership firm / a body corporate, registered / incorporated under the provisions of the Indian Partnership Act, 1932 / Companies Act, 1956, having his /her / its _____ Permanent _____ Account _____ Number _____ ("PAN") and his / her / its residence _____ / _____ registered office _____ at _____

_____, hereinafter referred to as "Client" (which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his /her heirs, executors and administrators /the partners for the time being of the said firm, the survivor or survivors of them and the heirs, executors and administrators of such last survivor / its successors and legal representatives, as the case may be) of the Other Part.

Also having

Email ID: _____

Mobile No.: _____

WHEREAS:

The Securities and Exchange Board of India (hereinafter referred to as "SEBI") has formulated and issued the Securities Lending Scheme, 1997 (hereinafter referred to as "SEBI Scheme") and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an "Approved Intermediary" registered with SEBI.

The AI is registered as an approved intermediary under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as "SLBS") for facilitating lending and borrowing of securities through persons registered as "Participants".

Under the said SEBI Circular, there would be one master agreement with two individual parts. The first part of the agreement would be between the AI and the Participants and the second part of the agreement would be between the Participants and the Clients. Securities lending and borrowing can be undertaken by the Participants either on their own account or on account of the Clients registered with them by entering into an agreement with them.

Accordingly, the Participants who are desirous of lending or borrowing securities under the SLBS are required to enter into an agreement with the AI which shall be referred to as "Part A". The Participants are also required to enter into an agreement with their respective Clients which shall be referred to as "Part B". Part A and Part B together shall constitute the master agreement.

The Participant has accordingly approached the AI for participating in the SLBS and the AI has agreed to facilitate such participation subject to the terms and conditions contained in the master agreement.

The Client is desirous of participating in the SLBS and, therefore, has approached the Participant. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.

The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability under SLBS including any limitations, the liability and the capacity in which the Participant acts.

Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the parties hereto agreed as under.

NOW THEREFORE THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS UNDER:

1. LEGAL FRAMEWORK

1.1. Securities lending and borrowing shall be facilitated by the AI in accordance with the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder by the AI and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation as applicable.

1.2. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

1.3. The provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules,

Byelaws and Regulations of the AI as a Clearing Corporation as applicable and Part A of the Master Agreement shall be deemed to be an integral part of this agreement and all the transactions under the SLBS by the Client shall be strictly in accordance with thereof. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable, and this agreement, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation shall prevail over this agreement. The provisions of this agreement are in addition thereto and not in derogation thereof.

1.4. The provisions of this agreement shall become applicable to the SLBS or such other scheme as may be framed for securities lending and borrowing by the AI with the prior approval of SEBI or as may be permitted by SEBI unless otherwise specified by the AI.

1.5. Master Agreement

1.5.1. There shall be one Master Agreement with two individual parts viz. Part A and Part B.

1.5.2. The agreement between the AI and the Participant constitutes Part A and this agreement constitutes Part B.

1.5.3. The provisions of Part A shall form part and parcel of this agreement. A certified true copy of Part A is annexed to this agreement.

2. ELIGIBILITY CRITERIA

Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by entering into this agreement with the Participant.

3. CONSIDERATION

In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.

4. RIGHTS OF THE PARTICIPANT

4.1. Margins

The Participant is empowered to call upon the Client to pay such margins as may be specified by the AI from time to time.

4.2. Recovery

The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities / obligations.

Further, the participant will be bound to recover charges towards franking of this Agreement directly from the client.

5. OBLIGATIONS OF THE PARTICIPANT

5.1. Issue of Confirmation Memo

The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the

Client within such time as may be prescribed by the AI from time to time.

5.2. Money / Securities to be kept in Separate Bank Account

The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder.

5.3. Update on Settlement Process

The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.

5.4. Compliance with Know Your Client Norms

The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.

5.5. Reconciliation of Account

The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.

5.6. Return of Securities and Lending Fees

5.6.1. Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -

5.6.1.1. The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI..

5.6.1.2. The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.

5.7. Delivery of Securities

5.7.1. Where Client is a borrower unless otherwise agreed upon between the Participant and the Client -

5.7.1.1. The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

6. RIGHTS OF THE CLIENT

6.1. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -

6.1.1. The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

6.1.2. The Client shall be entitled to receive lender's fee for the securities lent.

6.2. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -

6.2.1. The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

6.2.2. The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.

6.3. Notwithstanding any other provisions of the Master Agreement, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

7. OBLIGATION OF THE CLIENT

7.1. Abide by Law & Acquaintance to Law

The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the Master Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.

7.2. Update & Comply with the Settlement Process

Notwithstanding anything contained in Clause 4.4, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.

7.3. Processing Charges

The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.

7.4. Change in Client Registration Form

The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the "Client Registration Form" provided by the Client to the Participant.

7.5. Authorised Representative

The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.

7.6. Return of Securities

The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.

7.7. Payment of Margins

The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.

7.8. Exposure / Position Limits

The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.

7.9. Securities lent to be Unencumbered

The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

7.10. Collateral

At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

7.11. Insolvency

The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

7.12. Cancellation of Transactions

Notwithstanding anything contained in the Master Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

7.13. Discontinuation of SLBS and Participation in SLBS

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

8. ARBITRATION

8.1. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

8.2. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

9. GOVERNING LAW AND JURISDICTION

9.1. This agreement shall be governed by and construed in all respects in accordance with the laws of India.

9.2. In relation to any legal action or proceedings to which the AI is a party, the parties irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

9.3. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

10. EFFECTIVE DATE

This agreement shall be effective as of the date first set forth above once executed by or on behalf of both parties from the date of execution and with immediate effect the Client shall be eligible to participate in the SLBS from such date the AI permits the Participant to participate in the SLBS subject to fulfillment of the terms and conditions as stipulated by the AI from time to time.

11. TERMINATION

This agreement shall forthwith terminate if the Participant for any reason ceases to be a Participant under the circumstances as prescribed by the AI. This agreement may be terminated by either party by giving prior written notice of at least one month without assigning any reason. Such termination shall, however, not affect the liabilities/obligations of either party arising out of the transactions under the SLBS entered into prior to the date of the notice of termination.

12. AMENDMENT

This agreement shall not be altered, amended and /or modified by the parties in a manner that shall be in contravention of the provisions of Clause 1 of this agreement pertaining to the Legal Framework.

13. HEADINGS

The headings of the clauses are used for the purpose of convenience only and shall not affect the construction of the clauses or this agreement.

IN WITNESS WHEREOF the parties to this agreement have caused these presents to be executed as of the day and year first above written.

The Participant's Signature
For **Finance Monitor (India) Pvt. Ltd.**

Authorized Signatory
Signed by: Ms. SALONI PARIKH
Title: CEO & Compliance Officer
Name of the Participant: **M/s. Finance Monitor (India) Pvt. Ltd.**

Witness:
1. Name: _____
Signature _____

2. Name: _____
Signature _____

The Client's Signature

Sign Here	
-----------	--

Witness:
1. Name: _____
Signature _____

2. Name: _____
Signature _____

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. "DP" means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. "BO" means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or inaccuracy. In case the BO observes any error in the information provided in the alert,

the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.

6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.

9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID

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(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent
(Please write only the mobile number without prefixing country code or zero)

+91									
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The mobile number is registered in the name of: _____

Email ID: _____

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

Signatures
Place: _____

Sole / First Holder

Second holder

Third Holder

Date: _____



DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

SEBI vide circular dated April 04, 2022, introduced the mechanism of "Demat Debit and Pledge Instruction" (DDPI) under which the clients shall explicitly agree to authorize their stockbroker's/stockbroker and depository participant's to access their Beneficiary Owner (BO) account/s for the limited purpose of meeting pay-in obligations for settlement of trades, executed by them.

I/We,

HOLDER	NAME	PAN
Sole/First Holder		
Second Holder		
Third Holder		

Am/Are Individually/Jointly/Partnership Firm/Corporate/Others..

Whereas I/We Have Beneficiary Owner Account (Bo) Number:

BOID	1	2	0	3	2	4	0	0								
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I/We, Hereby execute 'Demat Debit and Pledge Instruction' (hereinafter referred to as DDPI) for transfer of securities towards deliveries/settlement obligations and pledging /re- pledging of securities and tendering shares in open offers. The Specific Purpose for which the aforesaid DDPI is executed is given herein below.

As per the SEBI circular dated October 06, 2022, under DDPI the client can give the below mentioned instruction/s to its stockbroker / depository participant:

Sr. No	Purpose	Signature of Client *
1	Transfer of securities held in the BO accounts of the client, towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stockbroker	
2	Pledging / re-pledging of securities in favour of the trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
4	Tendering shares in open offers through Stock Exchange platforms	

* The above instructions need to be signed in physical, against each purpose of DDPI.

DEMAT ACCOUNT OF STOCK BROKER

CDSL		NSDL	
ACCOUNT TYPE	DP ID- CLIENT ID	ACCOUNT TYPE	DP ID- CLIENT ID
BSE CM PRINCIPAL	1203240000003271	BSE CM POOL	IN00101910012691
BSE CM POOL	1203240000003265	NSE CM POOL	IN30133022407179
NSE CM POOL	1203240000000230	MARGIN PLEDGE	IN30133041113964
BSE CM EARLY PAY IN	1100001000014576		
NSE CM EARLY PAY IN	1100001100015641		
CUSA ACCOUNT	12032400000021525		
MARGIN PLEDGE	12032400000021827		
NSE SLBM	12032400000022246		

I/We agree that execution of the DDPI is optional and conform that it is not insisted upon by the Stock Broker/ the Depository Participant:

	SOLE FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
NAME			
SIGNATURE*			

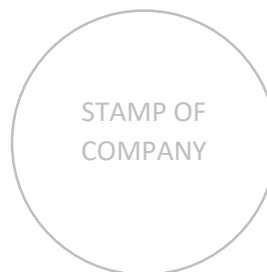
HUF CO-PARCERNERS SIGNATURES

1. _____
2. _____
3. _____
4. _____
5. _____

FOR FINANCE MONITOR (INDIA) PVT. LTD.

AUTHORIZED SIGNATORY

FINANCE MONITOR (INDIA) PVT.LTD



DATE: _____

**The same may be signed physically*

ANNEXURE – VIII
DECLARATION OF HUF

From: _____

Date: _____

To,
Finance Monitor (India) Pvt. Ltd.
403-B, Dalamal Chambers,
29, New Marine Lines,
Churchgate, Mumbai – 400 020.

Dear Sir,

We hereby confirm & declare that the following members consist of _____ HUF

Sr No.	Name of Member(s)	Date of Birth	Relation with Karta
1			
2			
3			
4			
5			

For & On behalf of

_____ HUF

(KARTA)

Please sign along with Karta Stamp

CLIENT DEFAULTER DECLARATION

I/We do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my Name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/ CIBIL (Credit Information Bureau of India Ltd.) etc.
I further declare that the above mentioned declaration/statement is true and correct.

Signature _____

PMLA POLICY DECLARATION

I/We confirm and declare that I/We had read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained by FMIPL official/ Sub-broker staff. I/We further declare that I/We shall adhere to the rules and regulations and requirements mentioned in the PMLA Act, 2002. I/We am/are aware that the said PMLA policy is available in your website www.financemonitor.co.in

Signature _____

Membership Detail

Exchange	Segment	Membership No.	Registration No.
BSE	Equity	3149	INZ000250337
NSE	Equity/ Derivative/ F&O/ Currency Derivative	07129	INZ000250337
	SBLM		Exchange Registered
MSEI	Equity	50200	INZ000250337
Depository Participant	CDSL	IN-DP-720-2022	
AMFI Registration No.		ARN-12809	

Trading & Clearing Member (Cash / Capital Market Segment & Derivatives / F & O Segment, Currency Segment & IRF & MCX / NCDEX / ICEX). In Case of any grievances mail to operations@fmipl.in

	Name	Telephone	EMAIL ID
Designated Director	Saloni Parikh	62534410	saloni@fmipl.in
Compliance / Principal Officer	Saloni Parikh	62534415	saloni@fmipl.in
Grievance / Dispute / Suggestions	Sunil Sachade	62534406	operations@fmipl.in
Dealing	Devang Barot	62534400	

In case not satisfied with the response, please contact concerned exchanges at:

Exchange	Regional Arbitration Centre	States and covered by the Regional Union Arbitration territories Centre
NSE	Exchange Plaza, 5th Floor, Plot no. C/1, G Block Bandra-Kurla Complex Bandra (E) Mumbai - 400 051. Tel No: 6598190 (IGC) / 6598192 (Arbitration) Fax No: 6598191, Email : ignse@nse.co.in	All over India
BSE	Regional Office West, Department of Investor Services, P J Towers, 1st floor, Dalal Street, Fort, Mumbai 400001. Telephone Number: 022-22721233/34 Fax No.: 022- 22723677 E-mail Id: is@bseindia.com ;	Maharashtra, Gujarat, Goa, Daman & Diu, Dadra & Nagar Haveli, Madhya Pradesh
BSE	Regional Office North, 7th Floor, Mercantile House K G Marg New Delhi - 110 001. Telephone Number: 011- 41510481 Telefax No.:011-41510480 E-mail Id: iscdelhi@bseindia.com ; ritesh.kumar@bseindia.com	Delhi, Haryana, Uttar Pradesh, Uttaranchal, Himachal Pradesh, Punjab, Jammu & Kashmir, Chandigarh, Rajasthan
BSE	Regional Office East, 1st Floor, Kishor Bhavan 17, and R. N. Mukherji Road Kolkata 700 001 Telephone Number: 033-22133184, Telefax No.:033-22130530 E-mail Id: isc.kolkata@bseindia.com ; anirban.guha@bseindia.com	West Bengal, Bihar, Jharkhand, Orissa, Assam, Arunachal Pradesh, Mizoram, Manipur, Sikkim, Meghalaya, Nagaland, Tripura, Chhattisgarh
BSE	Regional Office South, No.4. Vijaya Towers, 3rd Floor Kodambakkam High Road (Opp. to Palm Grove Hotel) Chennai 600 034 Telephone Number: 044-420089959 Telefax No.:044-42089958 E-mail Id : iscchennai@bseindia.com ; s.periyasamy@bseindia.com	Andhra Pradesh, Karnataka, Kerala, Tamil nadu, Andaman & Nicobar, Lakshadweep, Pondicherry.
MSEI	Investor Grievance Division, Metropolitan Stock Exchange of India Ltd. Vibgyor Towers, 4th Floor, Plot No. C 62, G Block, Opp Trident Hotel, Bandra Kurla Complex, Bandra (East), Mumbai - 400098. Tel No. 91-22-61129028. Email id: investorcomplaints@msei.in	All over India
MCX	Exchange Square, Suren Road, Andheri East, Mumbai – 400093, India. Tel: 022 6731 8888. Email Id: grievance@mcxindia.com	All over India
NCDEX	kruti Corporate Park, 1st Floor, Near G.E.Garden, L.B.S. Marg, Kanjurmarg (West), Mumbai - 400 078. Tel : (+91-22) – 66406084, Fax : (+91-22) – 66473201. E-mail : askus@ncdex.com	All over India
ICEX	Reliable Tech Park, 403-A, B-Wing, 4th Floor, Thane-Belapur Road, Airoli (E), Navi Mumbai – 400708, Email : info@icexindia.com	All over India

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, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Client Signature _____