

INDEX OF DOCUMENTS

| S.No. | Name of the Document | Brief Significance of the Document | Pg.No. |
|---|--|--|---|
| A. MANDATORY DOCUMENT AS PRESCRIBED BY SEBI & EXCHANGE | | | |
| 1. | Account Opening Form | A. KYC Form - Document captures the basic information about the constituent and an instruction/check list. B. Central KYC Application Form C. Document captures the additional information about the constituent relevant to Trading A/c/Demat A/c | 1-2 3-7 8-12 |
| 2. | FATCA Declaration | FATCA Declaration | 13 |
| 3. | Tariff Sheet | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) & Depository Service Charges. | 14-15 |
| STANDARD DOCUMENTS | | | |
| 1. | Uniform Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the commodities market. | Provided Through Separate Handbook |
| 2. | Rights and Obligations of Members, Authorized Persons and Clients | Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges. | |
| 3. | Risk Disclosure Documents for Options | Documents pertaining risk associated with dealing in the options | |
| 4. | Do's and Don'ts for the Investors | Document detailing do's and don'ts for trading on exchange, for the education of the investors. | |
| 5. | Rights and Obligation of Beneficial Owner and Depository Participant | Rights and Obligations of Beneficial Owner and Depository Participant as prescribed in SEBI and Depositories | |
| 6. | Rights and Obligations | Document stating the Rights & Obligations of stock broker /trading member, Sub broker/Authorised Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading) | |
| 7. | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the securities market. | |
| 8. | Guidance note | Document detailing do's and don'ts for trading on exchange, for the education of the investors. | |
| 9. | Policies and Procedures | Document describing our significant policies and procedures. | |
| B. VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER | | | |
| 1. | Requesting for Bill | Requesting for bill/transactions/holding statement through email | 16 |
| 2. | Voluntary Document | Voluntary Undertaking/Authorization | 17-18 |
| 3. | Running Account Authorisation | Required for maintaining clients account on a running account basis. | 19 |
| 4. | Authorisation for Electronic Contract Note/Statements | Required for issuance of Electronic Contract Notes, Statement of Account and other documents on the client's registered e-mail id. | 20 |
| 5. | Letter of Authority/ Declaration | Required for the purpose of operational efficiency. | 21 |
| 6. | Common E-mail, Mobile Format/ Declaration | Declaration form for Opting out of Nomination/ Declaration of Common Mail, Mobile in Family Accounts/ Client Defaulter Declaration | 22 |
| 7. | Internet Trading Letter | Required to avail facility of online trading | 23 |
| 8. | Terms and Conditions (SMS) | 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] | 24-25 |
| 9. | (Trust) Terms & Conditions | Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL | 26-27 |
| 10. | Power of Attorney | Power of Attorney provided to broker to facilitate paying of securities and other authorisations. | 28-29 |

COMPANY DETAILS

1. CIN No. : U51109RJ2006PTC022353
2. SEBI Reg. No. (Stock Brokers) : INZ000077535
3. SEBI Reg. No. (Depositories Participants) : IN-DP-422-2019
4. NCDEX Membership No. : NCDEX/CO/9/951
5. BSE CMID : 6723
6. NSE : 90202
7. MCX : 56895
8. CDSL DP ID : 12089200
9. Name of Member : Shree Balaji Multicommodities Private Limited
10. Registered Address/ Correspondence Address : 33 G Block
Sri Ganganagar (Raj.)-335001
11. Telephone : 0154-2472443, 2477443
12. Mobile : 7665666000, 9672078777
13. Compliance Officer : Mr. Pankaj Kedia, 9887272615
14. Email : pankajkedia@sbmcppl.co.in
15. Website : www.sbmcppl.co.in

For any grievance/dispute please contact Shree Balaji Multicommodities Private Limited at our registered address or email grievance@sbmcppl.co.in and phone no.0154-2477443. In case not satisfied with the response, please contact the MCX at grievance@mexindia.com and phone no. 91+022-67318888 and NCDEX at askus@ncdex.com and phone no.91+22-664067789, BSE at is@bseindia.com, NSE at ignse@nse.co.in, CDSL at complaints@cdslindia.com, SEBI at <http://scores.gov.in> or please contact SEBI office on Toll Free Helpline at 1800227575/18002667575.

ACKNOWLEDGEMENT




To,
Shree Balaji Multicommodities Private Limited
Regd. Off: 33 G Block
Sri Ganganagar (Raj.)-335001

Dear Sir/Madam,

I undersigned, hereby confirm that I have received the duly executed copy of KYC form, Right & Obligations, Guidance Note, Policies and Procedure, Tariff Sheet, Risk Disclosure Document and Right & Obligations (DP) and all other documents as executed by me.

I acknowledge that the detail related to my account are as under :

Client Name _____
Trading Code _____
DP BO ID _____
E-mail id _____
Mobile _____

| | First/Sole Holder | Second Holder | Third Holder |
|-------------------------------|---|---|---|
| Name | | | |
| Signature of Client (1/40) |  |  |  |

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant

| Sr. No. | PAN | Name | Date of Birth | DIN (For Directors)/ Aadhaar Number (For Others) | Residential / Registered Address | Relationship with Applicant (i.e. promoters, whole time directors etc.) | Photograph |
|---------|-----|------|---------------|--|----------------------------------|---|------------|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

(3/40)  Name & Signature of the Authorised Signatory (ies)

Date / /





Important Instructions:

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

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

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

Name*
 Entity Constitution Type* Others (Specify) (Please refer instruction **B** at the end)
 Date of Incorporation / Formation* DD - MM - YY YY Date of Commencement of Business DD - MM - YY YY
 Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country
 PAN * Form 60 furnished
 TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

Officially valid document(s) in respect of person authorised to transact
 Certificate of Incorporation / Formation Registration Certificate Regn Certificate No.
 Memorandum and Articles of Association Partnership Deed Trust Deed
 Resolution of Board / Managing Committee Power of attorney granted to its manager, officers or employees to transact on its behalf
 Activity Proof - 1 (For Sole Proprietorship Only) Activity Proof - 2 (For Sole Proprietorship Only)

3. ADDRESS* (Please see instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address* Certificate of Incorporation / Formation Registration Certificate Other Document
 Line 1*
 Line 2
 Line 3 City / Town / Village*
 District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

3.2 Local Address in India (If different from Above)*

Line 1*
 Line 2
 Line 3 City / Town / Village*
 District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code*

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off) - FAX -
 Mobile - Email ID
 Mobile - Email ID

5. NUMBER OF RELATED PERSONS (Please refer instruction **E** at the end)

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

| | | |
|--|---|---|
| A - Sole Proprietorship | H - Trust | O - Artificial Jurisdictional Person |
| B - Partnership Firm | I - Liquidator | P - International Organisation or Agency /Foreign Embassy or Consular Office etc. |
| C - HUF | J - Limited Liability Partnership | Q - Not Categorized |
| D - Private Limited Company | K - Artificial Liability Partnership | R - Others |
| E - Public Limited Company | L - Public Sector Banks | S - Foreign Portfolio Investors |
| F - Society | M - Central/State Government Department or Agency | |
| G - Association of Persons (AOP) / Body of Individuals (BOI) | N - Section 8 Companies (Companies Act, 2013) | |

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

- 1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

E Clarification / Guidelines for filling 'Related Person Details' section

- 1 Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

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



For office use only Application Type* New Update Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

Addition of Related Person Deletion of Related Person Update Related Person Details
 KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory
Related Person Type* Director Promoter Karta Trustee Partner Court Appointment Official Proprietor
 Beneficiary Authorised Signatory Beneficial Owner Power of Attorney Holder Other (Please specify)
 DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

| | Prefix | First Name | Middle Name | Last Name |
|--------------------------|---|----------------------|----------------------|--|
| Name* (Same as ID proof) | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Maiden Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Father / Spouse Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Mother Name | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Date of Birth* | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Gender* | <input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender | | | |
| Nationality* | <input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>) | | | |
| PAN* | <input type="text"/> | | | <input type="checkbox"/> Form 60 furnished |

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B-Voter ID Card
- C- Driving Licence
- D-NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar
- II E-KYC Authentication
- III Offline verification of Aadhaar



(5/40)

Address

Line 1*
 Line 2
 Line 3 City / Town / Village*
 District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B-Voter ID Card
- C- Driving Licence
- D-NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar
- II E-KYC Authentication
- II Offline verification of Aadhaar
- IV Deemed PoA
- V Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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


1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

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

Email ID

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

(6/40) 

Date : - - Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

- Documents Received** Certified Copies E-KYC data received from UIDAI Data received from Offline verification
- Digital KYC process Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

INSTITUTION DETAILS

Name

Code

[Employee Signature]

[Institution Stamp]

OTHER DETAILS

| | |
|---|---|
| Gross Annual Income Details | Income Range per annum <input type="checkbox"/> Below Rs.1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> >25 Lac |
| OR Net-worth as on (date) | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> is Rs. _____ (Net worth should not be older than 1 Year) |
| Occupation | <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Government Service <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others (Specify) |
| PEP (Please tick if applicable) | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) |
| Self Declaration of Categories of Clients | Farmer/FPOs <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All Value Chain Participant (VCPs) <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All Foreign Participants <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All Domestic Financial Institutional Investor <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All Others <input type="checkbox"/> Bullions <input type="checkbox"/> Base Metal <input type="checkbox"/> Energy <input type="checkbox"/> Agri Comm. <input type="checkbox"/> All |

BANK ACCOUNT(S) DETAILS

| | |
|-------------------------|---|
| Bank Name | <input type="text"/> |
| Branch Name | <input type="text"/> |
| Branch Address | <input type="text"/> |
| Bank A/c No. | <input type="text"/> |
| A/c Type | <input type="checkbox"/> Saving <input type="checkbox"/> Current Others _____ |
| MICR Number | <input type="text"/> IFSC Code <input type="text"/> |
| Proof of Bank submitted | <input type="checkbox"/> Bank Statement <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Cancelled Cheque leaf |

(Specify name of the client/MICR Code or/and IFSC code of the bank)












Note: 1. Bank statement should be original and of latest quarter. It should have Bank Manager's Stamp & Sign, if original stationary is not available. 2. Bank Passbook should have Bank Manager's Stamp & Sign if it is hand written.

DEPOSITORY ACCOUNT(S) DETAILS (if existing)

| | |
|-----------------------------|--|
| Depository Participant Name | <input type="text"/> |
| Depository Name | <input type="checkbox"/> NERL <input type="checkbox"/> CCRL <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL |
| DP ID | <input type="text"/> Beneficiary ID (BO ID) <input type="text"/> |
| Beneficiary Name | <input type="text"/> |
| Second Holders Name | <input type="text"/> |
| Third Holders Name | <input type="text"/> |
| Proof of DP Submitted | <input type="checkbox"/> Holdings Statement issued by DP (bearing name of the client) <input type="checkbox"/> Demat Master / Client Master Report (CMR)s |

Note : 1. Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form. 2. DP statement should clearly show DP ID & Client ID.

TRADING PREFERENCES

| Please sign in the relevant boxes where you wish to trade. | | | The segment not chosen should be struck off by the client. | | | | |
|--|-------------|---|--|-----------|-------------|---|---------|
| Exchanges | | Segments | | Exchanges | | Segments | |
| BSE | Cash |  | (7/40) | NSE | Cash |  | (13/40) |
| | F&O |  | (8/40) | | F&O |  | (14/40) |
| | Currency |  | (9/40) | | Currency |  | (15/40) |
| | Commodities |  | (10/40) | | Commodities |  | (16/40) |
| | Mutual Fund |  | (11/40) | | | | |
| MCX | F&O |  | (12/40) | NCDEX | F&O |  | (17/40) |

Note: To trade in future & options derivatives kindly submit copy of ITR acknowledgement or Bank A/c statement for last 6 months.

ADDITIONAL DETAILS

| | |
|---------------------------------------|---|
| Facilities for Trading | Whether you wish to avail the facility of <input type="checkbox"/> Internet trading <input type="checkbox"/> Wireless technology (Mobile) |
| Contract note and Standard Documents: | Whether you wish <input type="checkbox"/> in Electronic Form (Email ID same as mentioned on KRA Page) to receive <input type="checkbox"/> in Physical Form |
| Educational Qualification | <input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional |
| Investment/Trading Experience | <input type="checkbox"/> Years in Stocks <input type="checkbox"/> Years in Derivatives <input type="checkbox"/> No Prior Experience |
| Primary purpose of dealing | In Equities: <input type="checkbox"/> Intraday <input type="checkbox"/> Positional <input type="checkbox"/> Investment In Derivatives: <input type="checkbox"/> Trading <input type="checkbox"/> Hedging |
| Any other information | |

GST DETAILS

| | |
|-----------------------------|----------------------|
| GST Number | <input type="text"/> |
| GST Implementation Location | <input type="text"/> |

PAST ACTION

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituents or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years.

DEALINGS THOROUGH OTHER STOCK BROKERS

If you are dealing with any other stock broker/Sub broker/Authorized Person, provide the following details:
(in case dealing with multiple stock brokers/Sub broker/Authorized Person, provide details of all)

| | | | |
|---|----------------------|-------------|----------------------|
| Name of Stock Broker | <input type="text"/> | Client Code | <input type="text"/> |
| Name of Sub Broker/ Authorized Person | <input type="text"/> | Exchange | <input type="text"/> |
| Details of disputes/dues pending from/to such stock broker/sub broker/Authorized Person | | | |

INTRODUCER DETAILS

| | |
|-----------------------------|---|
| Name of the Introducer | <input type="text"/> |
| Introducer Code | <input type="text"/> |
| Address & Phone No. | <input type="text"/> |
| Status of the Introducer | <input type="checkbox"/> Sub-Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others |
| Signature of the Intorducer | <input type="text"/> |

SALES TAX REGISTRATION DETAILS (As applicable, Statewise)

| | Registration No. | Validity Date | Name of the State (Please give details of all states where you are registered) |
|-------------------|------------------|---------------|--|
| Local Sales Tax | | | |
| Central Sales Tax | | | |
| Other Sales Tax | | | |

VAT DETAILS (As applicable, Statewise)

| | Registration No. | Validity Date | Name of the State (Please give details of all states where you are registered) |
|-----------|------------------|---------------|--|
| Local Vat | | | |
| Other Vat | | | |

1. I/We hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately in case any of the above information is found to be false or untrue or misleading or misrepresenting. I am aware that I may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents, policies and procedures.
3. I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s) and 'Risk Disclosure Document' and 'Do's and 'Don't'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on Member's designated website.
4. I/We do not want to continue my account in BSDA Scheme. Yes / Tick here

 
Signature of Client (18/40)




Place _____
Date : _____

CONSENT FOR AADHAR NUMBER

Request for Aadhaar updation- YES NO
I/we wish to link my/our Aadhaar No. _____ and I/we have no objection in authenticating the same with Aadhaar based authentication system via OTP/Biometric/demographic information. In case of authentication failure with UIDAI records, I/we understand that my/our Aadhaar no. will not be updated in the **Shree Balaji Multicommodities Private Limited** records.

Consent to share Aadhaar details- YES NO
I/we hereby give my/our consent to **Shree Balaji Multicommodities Private Limited** to update and share my Aadhaar number and related details obtained from UIDAI through auth authentication using OTP/Biometric/Demographic information on my behalf with my third party entities like Exchanges, Depositories, KRA, CERSAI, AMC's, PMS, Mutual Funds, Insurer's or any other institution that may be formed in future, or any of its associated or group company etc. where there is a requirement of uploading/updating/modifying the Aadhaar no. in case of any investment or purchase of any product/services from such entities made through **Shree Balaji Multicommodities Private Limited** or in case there is a regulatory requirement for the same or in any other case what so ever.

Also, I/we hereby give my/our consent to **Shree Balaji Multicommodities Private Limited** to share my Aadhaar number and related details obtained from KRA, CERSAI as part of fetching process etc. or any other institution that may be formed in future, or any of its associated or group company etc. with any third party entities like Exchanges, Depositories, KRA, CERSAI, AMC'S, PMS, Mutual Funds, insurer's or any other institution that may be formed in future, or any of its associated or group company etc. where there is a requirement of uploading/updating/modifying that Aadhaar no. in case of any investment or purchase of any product/services from such entities made through Shree Balaji Multicommodities Private Limited or in case there is a regulatory requirement for that same or in any other case what so ever.

| | First/Sole Holder | Second Holder | Third Holder |
|-----------------------------|---|---|---|
| Name | | | |
| Signature of Client (19/40) |  |  |  |

FOR OFFICE USE ONLY

UCC Code Allotted to the Client _____

| | Document Verified with Originals |
|-----------------------------|----------------------------------|
| Name of the Employee | |
| Employee Code | |
| Designation of the Employee | |
| Date | |
| Signature | |

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

Date: _____ 

DEMAT ACCOUNT RELATED ADDITIONAL DETAIL

(Required for the purpose of DEMAT A/c Opening)

(To be filled by the Depository Participant)

| | | | | | | | | | | | | | | | | | | | | |
|---------------------------|---|------|---|---|---|---|---|---|-----------|--|--|--|--|--|--|--|--|--|--|--|
| Application No. | | Date | | | | | | | | | | | | | | | | | | |
| DP Internal Reference No. | | | | | | | | | | | | | | | | | | | | |
| DP ID | 1 | 2 | 0 | 8 | 9 | 2 | 0 | 0 | Client ID | | | | | | | | | | | |

Please fill all the details in Block Letters in English Only.

I/We request you to open a Depository Account in my/our names as per the following details:

HOLDER'S DETAILS

| | | | | | | | | | | | | | | | | | | | | |
|--------------------------|--|--------------------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Sole/First Holder's Name | | PAN | | | | | | | | | | | | | | | | | | |
| | | UID | | | | | | | | | | | | | | | | | | |
| | | UCC | | | | | | | | | | | | | | | | | | |
| | | Exchange Name & ID | | | | | | | | | | | | | | | | | | |
| Second Holder's Name | | PAN | | | | | | | | | | | | | | | | | | |
| | | UID | | | | | | | | | | | | | | | | | | |
| Third Holder's Name | | PAN | | | | | | | | | | | | | | | | | | |
| | | UID | | | | | | | | | | | | | | | | | | |

Name* _____

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

TYPE OF ACCOUNT (Please tick whichever is applicable)

| Status | Sub. Status | |
|---|---|---|
| <input type="checkbox"/> Individual | <input type="checkbox"/> Individual Resident | <input type="checkbox"/> Individual Director's |
| | <input type="checkbox"/> Individual Director's Relative | <input type="checkbox"/> Individual HUF / AOP |
| | <input type="checkbox"/> Individual Promoter | <input type="checkbox"/> Minor |
| | <input type="checkbox"/> Individual Margin Trading A/c (MANTRA) | <input type="checkbox"/> Others (Specify) _____ |
| | | |
| <input type="checkbox"/> NRI | <input type="checkbox"/> NRI Repatriable | <input type="checkbox"/> NRI Non-Repatriable |
| | <input type="checkbox"/> NRI Repatriable Promoter | <input type="checkbox"/> NRI Non-Repatriable Promoter |
| | <input type="checkbox"/> NRI - Depository Receipts | <input type="checkbox"/> Others (specify) _____ |
| | | |
| <input type="checkbox"/> Foreign National | <input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipts <input type="checkbox"/> Others (Specify) | |

DETAILS OF GUARDIAN (In case the account holder is minor)

| | | | | | | | | | | | | | | | | | | | | |
|---|-----|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Guardian's Name | PAN | | | | | | | | | | | | | | | | | | | |
| Relationship with the applicant | | | | | | | | | | | | | | | | | | | | |
| I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes') | | | | | | | | | | | | | | | [Automatic Credit] | | | | | |
| | | | | | | | | | | | | | | | <input type="checkbox"/> Yes <input type="checkbox"/> 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 be 'No') | | | | | | | | | | | | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | |
| I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____ | | | | | | | | | | | | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | |
| I/We would like to share the email ID with the RTA | | | | | | | | | | | | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | |
| Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly | | | | | | | | | | | | | | | | | | | | |
| I/We would like to receive the Annual Report <input type="checkbox"/> Physical/ <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (Tick the applicable box. If not marked the default option would be in Physical) | | | | | | | | | | | | | | | | | | | | |

| | |
|---|--|
| 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') | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| [ECS is mandatory for locations notified by SEBI from time to time] | |

BANK DETAILS [DIVIDEND BANK DETAILS]

| | | | | | | | | | |
|-------------------------------|---------------------------------|-------|--|----------------------------------|--|----------|---|--|--|
| Bank Code (9 digit MICR code) | | | | | | | | | |
| IFS Code (11 character) | | | | | | | | | |
| Account number | | | | | | | | | |
| Account type | <input type="checkbox"/> Saving | | | <input type="checkbox"/> Current | | | <input type="checkbox"/> Others (specify) _____ | | |
| Bank Name | | | | | | | | | |
| Branch Name | | | | | | | | | |
| Bank Branch Address | | | | | | | | | |
| City | | State | | Country | | PIN 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
- (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.

| | |
|--|---|
| Other Details - Gross Annual Income Details | Income Range per annum: <input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000 |
| | Net worth as on (Date) _____ Rs. <i>[Net worth should not be older than 1 year]</i> |
| Occupation | <input type="checkbox"/> Private/Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) |
| Please tick, if applicable: | <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP) |
| Any other information: | |

| SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4 | MOBILE NO. +91 _____ [(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). | | | | | | | | | |
|--|---|-------------------------------|----------------------|-------------------------------|--|--|--|--|--|--|
| Transactions Using Secured Texting Facility (TRUST). Refer to Terms and 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. <input type="checkbox"/> Yes <input type="checkbox"/> No 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) | | | | | | |
| 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. | | | | | | | | | |

CAS Facility - CAS (CONSOLIDATED ACCOUNT STATEMENT) is available

1. I/We wish to opt CAS Facility
2. I/We do not wish to opt CAS Facility

| | First/Sole Holder | Second Holder | Third Holder |
|-----------------------------|---|---|---|
| Name | | | |
| Signature of Client (20/40) |  |  |  |

FATCA DECLARATION

Do you satisfy any of the criteria mentioned below:

| | Yes | No |
|--|-----|----|
| a) Citizen of any country other than India (dual/multiple) [including Green Card] | | |
| b) Country of birth is any country other than India | | |
| c) Tax resident of ANY country/ ies other than India | | |
| d) POA or a mandate holder who has an address outside India | | |
| e) Address or telephone number outside India | | |

If your answer to any of the above questions is a 'YES', please fill 'FATCA DECLARATION' given on our website and submitted signed FATCA Declaration to Head Office.

Subject to applicable Laws, I/We hereby give consent to share my information with domestic/overseas regulators or tax authorities wherever necessary.

I/We hereby declare and confirm that the details given above are true and correct.

Further I/We would like to state that in future if there is any change in my/our tax status (i.e. if I/we become tax resident of any other county other than India) then the same will be informed to Shree Balaji Multicommodities Private Limited and below FATCA Declaration will be submitted to you immediately.

| | |
|--------------------|---|
| Client's Signature |  (21/40) |
| Client Name | |




OPTION FOR ISSUE OF DIS BOOKLET

I/We hereby state that

Option 1: I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through 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 instruction for setting stock exchange trades (settlement related transactions) effected through such Clearing Member/by PMS Manager.

OR

Option 2: I/We do not require the Delivery Instruction Slips (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 trade (settlement related transaction) 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.

| | First/Sole Holder | Second Holder | Third Holder |
|---------------------|---|---|---|
| Name | | | |
| Signature of Client |  (22/40) |  |  |

TARIFF SHEET

BROKERAGE FOR TRADING ACCOUNT

| Transaction Type | Equity Cash | | | Equity F&O | | |
|----------------------|-------------------------|--------------------------|----------|------------------------|-------------------------|---------|
| | Intraday (First leg) | Intraday (Second Leg) | Delivery | Futures (First Leg) | Futures (Second Leg) | Options |
| Table No. | | | | | | |
| Brokerage Rate (%) | | | | | | |
| Min. Brokerage (Rs.) | | | | | | |

| Transaction Type | Currency | | | Commodities F & O | | | |
|---------------------|------------------------|-------------------------|---------|------------------------|-------------------------|---------|----------|
| | Futures (First leg) | Futures (Second Leg) | Options | Futures (First Leg) | Futures (Second Leg) | Options | Delivery |
| Table No. | | | | | | | |
| Brokerage Rate (%) | | | | | | | |
| Min. Brokerage (Rs) | | | | | | | |

TERMS AND CONDITIONS:

1. Second leg - if squared off on the same day
2. Account Opening charges (including KRA charges) for Trading Account is Rs. _____
3. SEBI Turnover Fees, STT, Service Tax, Clearing Charges, Stamp Duty & GST Transaction Charges will be levied separately from brokerage as applicable from time to time.
4. Statutory charges as applicable from time to time.

Other Charges:

1. In addition to above charges levied on account of Cheque Return, wrong reporting of Cheques. DP Scheme Charges for DIS Re-issuance, issue of Duplicate Statements, Interest Charges, Delay payment charges, user ID - 'Internet Trading or Wireless Technology' etc. may be recovered from your account.
2. Shree Balaji Multicommodities Private Limited reserves the rights to change the brokerage as well as their tariff from time to time under intimation to client.

| | |
|--------------------|---|
| Client's Signature |  (23/40) |
| Client Name | |


DISCLOSURE INFORMATION

Sir,

This is to inform you that we may do Pro-account trading at NCDEX, NSE (F & O, Currency Derivatives)

Thanks and best regards

I acknowledge the receipt of information given above by Shree Balaji MultiCommodities Private Limited that they do Pro-account trading.




| | |
|--------------------|---|
| Client's Signature |  (24/40) |
| Client Name | |

TARIFF STRUCTURE FOR DEPOSITORY SERVICES

| S.No. | Particulars | Charges (in INR) |
|-------|---|---|
| 1. | Stamp Charges | As Applicable |
| 2. | Annual Maintenance Charges (AMC)- Choose any one scheme i.e. given below: | |
| | a. Individuals | SCHEME I: Annual AMC <input type="checkbox"/> Rs. 199/- |
| | | SCHEME II: Annual AMC (1st Year Free AMC) <input type="checkbox"/> Rs. 249/- |
| | | SCHEME III: One Time AMC <input type="checkbox"/> Rs. 999/- |
| | b. Corporates | Rs. 999/- |
| 3. | Transaction Charges | |
| | a. Purchase (On Market/Off Market) | Free |
| | b. Sale (On Market/Off Market-Slip Transaction) Min. | Rs. 30 and Max. Rs. 100 (subject to 0.04 % of transaction value whichever is lower) |
| | c. Sale (POA) | Min. Rs. 20 and Max Rs. 100 (subject to 0.04% of transaction value whichever is lower) |
| 4. | BSDA (Basic Service Demat Account) Transaction Charges | Rs. 50/- per transaction (POA) and; Rs. 65/- per transaction(Non-POA) |
| 5. | Delivery Instruction Slip Book | |
| | a. First DIS Book | Free + Courier/Postage Charges |
| | b. Additional DIS Book | Rs. 30/- per book (10 Slips) + Courier/Postage Charges |
| 6. | Additional Statement Charges (one statement per month will be provided free of cost vide E-mail) | |
| | a. By E-Mail | Free |
| | b. Physical | Rs. 5/- Page + Courier/Postage Charges |
| 7. | Dematerialization | Rs. 10/- per certificate (Minimum Rs. 20/-) + Courier Postage Charges |
| 8. | Rematerialization | Rs. 100/- or maximum 0.03% of transaction value whichever is higher |
| 9. | Instuction Failure/Demat Rejection Charges | Rs. 40/- per transaction |
| 10. | Pledge Creation/Closure/Invocation Charges | Rs. 50/- per transaction |
| 11. | Margin Pledge/Un-Pledge | Rs. 20/- per Script upto 5 Lac, Above 5 Lac 0.002% on valuation of securities whichever is higher |
| 12. | KRA Charges in BSDA account | Rs. 80/- |
| 13. | Modification Charges (Online/Offline) | Rs. 25/- per request |

TERMS & CONDITION W.R.T. CHARGES:

- Annual Account Maintenance Charges will be charged upfront every year.
- ***Scheme II**, if Account is closed during the First Year, AMC will be charged as per **SCHEME I**.
- **** Scheme III** includes Account Maintenance Charges for a period of 6 years (Rs. 999/- will be charged 1st Year (upfront) and Account Maintenance charge for the next 5 years will be Free). In case, if account is closed during the said period, the BO will not be entitled for any refund.
- Courier/postage charges will be **Rs. 20/- per courier** (wherever applicable) for **Rs. 40/- per postage and Rs. 50/- (upto 10 certificates)** in case of Dematerialization Request.
- Tariff structure is based on existing CDSL charges and Shree Balaji Multicommodities Private Limited reserves the right to revise the tariff structure by giving notice of 30 days.
- Value of transaction will be in accordance with the rates provided by CDSL.
- In case of delay in the payment of charges, the demat account will be frozen for all operations till such period all dues are cleared and subject to 30 days' notice from the payment due date.
- Statutory charges as applicable from time to time.

| | First/Sole Holder | Second Holder | Third Holder |
|---------------------|--|---|---|
| Name | | | |
| Signature of Client |  (25/40) |  |  |

REQUESTING FOR BILL/TRANSACTION/HOLDING STATEMENT THROUGH EMAIL.

To,
 Shree Balaji Multicommodities Private Limited
 Regd. Off: 33 G Block, Sri Ganganagar (Raj.)-335001

Date

Dear Sir,

Sub : Requesting for bill/transaction/holding statement through email.

I/We request you to send me/us bill, transaction and holding statement of my CDSL Demat account no. _____ at following email address: _____

I/We fully agree and are aware of following Terms and Conditions mentioned below.




- (a) that I/We will not receive the bill, transaction and holding statements in paper form.
- (b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- (c) that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality /secrecy of the login name and password is compromised.
- (d) that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the Shree Balaji Multicommodities Private Limited. about change in email address, if any.

In case, the Shree Balaji Multicommodities Private Limited is not able to provide bill/transaction statement to its Clients by email or on website due to any reason (including bounced emails), Shree Balaji Multicommodities Private Limited will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to send the statements:

Daily Fortnightly Weekly Monthly

Yours Faithfully,




| | First/Sole Holder | Second Holder | Third Holder |
|--------------------------------|---|---|---|
| Name | | | |
| Signature of Client (26/40) |  |  |  |

Declaration

I/We have received and read the Rights and Obligations documents and terms & conditions and agree to abide by and be bound by the same and the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application.

I/We agree and undertake to intimate the DP of any change(s) in the details/particulars mentioned by me/us in this form.

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 Holder | Second Holder | Third Holder |
|--------------------------------|---|---|---|
| Name | | | |
| Signature of Client (27/40) |  |  |  |

VOLUNTARY UNDERTAKING/AUTHORISATION

To,
Shree Balaji Multicommodities Private Limited
Regd. Off: 33 G Block, Sri Ganganagar (Raj.)-335001
Sub: **Voluntary Undertaking/Authorisation**

Date

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize Shree Balaji Multicommodities Private Limited to do the following:

1. ORDER PLACEMENT INSTRUCTIONS

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call centre/branch specified for the said purpose by Shree Balaji Multicommodities Private Limited in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/ Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify Shree Balaji Multicommodities Private Limited and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

2. ERRORS AND OMISSIONS

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances Shree Balaji Multicommodities Private Limited shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold Shree Balaji Multicommodities Private Limited responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by Shree Balaji Multicommodities Private Limited .

3. NO MARKET MANIPULATION

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

4. NOT TO ACT AS UNREGISTERED SUB BROKER

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients In case I wish to deal for other clients also, I undertake to apply to SEBI through Shree Balaji Multicommodities Private Limited to obtain a sub broker registration. In case Shree Balaji Multicommodities Private Limited perceives that I am acting as an unregistered sub broker, Shree Balaji Multicommodities Private Limited has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to Shree Balaji Multicommodities Private Limited without the requirement of any notice from Shree Balaji Multicommodities Private Limited. Further, Shree Balaji Multicommodities Private Limited has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Shree Balaji Multicommodities Private Limited from any loss/ damage/claim arising out of such activity.

5. NOT DEBARRED BY ANY REGULATOR

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform Shree Balaji Multicommodities Private Limited in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and Shree Balaji Multicommodities Private Limited on its own comes to know of such action, Shree Balaji Multicommodities Private Limited has the right to suspend/close my trading account and refuse to deal with me. Also, Shree Balaji Multicommodities Private Limited can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

6. PMLA DECLARATION

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by Shree Balaji Multicommodities Private Limited officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

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

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

| | |
|-----------------------|--|
| Client's Signature |  (28/40) |
|-----------------------|--|

INDEMNITY OF JOINT HOLDINGS

I hereby agree to indemnify and hold Shree Balaji Multicommodities Private Limited harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

8. BSE StAR MUTUAL FUND FACILITY

I am interested in availing the StAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the StAR platform of the Exchange. For the purpose of availing the StAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of StAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

9. DELAYED PAYMENT CHARGES

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.05% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures.

10. NRI DECLARATION

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to Shree Balaji Multicommodities Private Limited every time the investment is made.

11. THIRD-PARTY PAYMENTS

Shree Balaji Multicommodities Private Limited shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by Shree Balaji Multicommodities Private Limited, Shree Balaji Multicommodities Private Limited shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

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

12. NO DEALINGS IN CASH

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

13. DISCLOSURE OF PROPRIETARY TRADING BY SHREE BALAJI MULTICOMMODITIES PRIVATE LIMITED

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, Shree Balaji Multicommodities Private Limited discloses to its clients about its policies on proprietary trades. Shree Balaji Multicommodities Private Limited does proprietary trades in the cash and derivatives segment at NSE, BSE, NCDEX & MCX.

14. DELIVERIES

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

15. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then Shree Balaji Multicommodities Private Limited has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. Shree Balaji Multicommodities Private Limited, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of Shree Balaji Multicommodities Private Limited.

After such square off of open positions by Shree Balaji Multicommodities Private Limited, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, Shree Balaji Multicommodities Private Limited shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. Shree Balaji Multicommodities Private Limited, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

| | | |
|-----------------------|---|---------|
| Client's Signature |  | (29/40) |
|-----------------------|---|---------|

**RUNNING ACCOUNT AUTHORISATION
VOLUNTARY**

To,
Shree Balaji Multicommodities Private Limited
Regd. Off: 33 G Block, Sri Ganganagar (Raj.)-335001

Date

Dear Sir,

I will be dealing through you as client in Capital & Commodities Market and/or Future & Option segment and/or Currency Derivatives at BSE/NSE/NCDX/MCX. In order to facilitate ease of operations and upfront requirement of margin for trade. I authorize you as under:

1. I request you to maintain running balance in my account & retain the credit balance in any of my account and to use the unused funds towards my margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/Clearing Corporation, unless I instruct you otherwise.
2. I request you to retain with you for my margin/pay-in/other-future obligation(s) at any segment(s) of the Exchange/ Clearing Corporation, unless I instruct you to transfer the same to my account.
3. I request you to settle my fund and securities account. Once in every calendar Quarter or / Once in a calendarMonth or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/ margin in form of Bank Guarantee and /or Fixed Deposit Receipts.
4. In case I have an outstanding obligation on the settlement date, you may retain the requisite securities/ funds towards such obligation and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges..
5. I shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipts of funds/ securities or statement, as the case may be.
6. I confirm you that I can revoke the above mentioned authority anytime by giving notice in writing to you.

I request you to settle my funds and securities account.

Once in every :-

- Calander Quarter**
 Calander Month

Thanking you
Yours faithfully,

Trading Code _____

| | |
|--------------------|---|
| Client's Signature |  (30/40) |
| Client Name | |

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTE / STATEMENTS
VOLUNTARY**

To,
Shree Balaji Multicommodities Private Limited
Regd. Off: 33 G Block, Sri Ganganagar (Raj.)-335001

Date

Dear Sir,

Subject: Issuance of Electronic Contract Notes/Statements in Electronic Form (Trading/Demat A/c)

In reference to my/our dealing with you as a client for trading in the Capital & Commodities Market and/or Futures & Options Segment and/or Currency Derivatives at BSE/NSE/NCDEX/MCX Stock Exchanges, I/We hereby give my/our consent to receive electronic contract notes (ECN), financial statements, margin statements or any other reports/notices in electronic mode from Shree Balaji Multicommodities Private Limited on my/our below mentioned e mail id.

I/We further give my/our consent to receive bills, ledgers, transaction statements, monthly/quarterly demat statement of accounts/holding statement(s)/bills, or any other reports/notices in electronic mode on my/our below mentioned e mail id for the Depository services I/we am /are availing through Shree Balaji Multicommodities Private Limited - DP.

I/we confirm that the e mail address has been generated by me/us.

1.....

2

I/We further hereby agree that the Shree Balaji Multicommodities Private Limited shall fulfill the legal obligation by sending the mentioned documents electronically to my/our e-mail id. I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email id(s).

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of documents to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non receipt/ delayed receipt for any reason whatsoever.




I/We also undertake to check the ECN/Statement and other documents and bring the discrepancies to your notice within the time period as specified by the regulatory authorities. My/Our non-verification or not accessing the ECN/Statement and other documents on regular basis shall not be a reason for disputing the same at any time.

I/We understand and agree that I/we shall intimate any change in the email id mentioned herein through a physical letter to you. Whenever I/We want to discontinue the said facilities, I/We shall inform to Shree Balaji Multicommodities Private Limited immediately in writing.

I/We further agree that Shree Balaji Multicommodities Private Limited will not be held responsible for non receipt of documents sent via electronic delivery due to change in/incorrect e-mail address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify Shree Balaji Multicommodities Private Limited , that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

My Trading code is _____

My/Our BO ID _____

| | First/Sole Holder | Second Holder | Third Holder |
|---------------------|---|---|---|
| Name | | | |
| Signature of Client |  (31/40) |  |  |

LETTER OF AUTHORITY

To

Shree Balaji Multicommodities Private Limited

Regd. Off: 33 G Block, Sri Ganganagar (Raj.)-335001

Dear Sir/Madam,

I hereby authorise Mr./Ms. _____ to trade on my behalf of me in my trading account code _____, I will be fully responsible for all trades done by authorised person in my trading account code. Further Mr./Ms. _____ is my _____ and he is also authorised to collect and deliver Cheque/Bill's/Contact Notes/deliver Instructions/or any other required documents as the case may be.

| | |
|--------------------|---|
| Client's Signature |  _____ (32/40) |
| Client Name | _____ |

DECLARATION




Client Code: _____

To

Shree Balaji Multicommodities Private Limited

Regd. Off: 33 G Block, Sri Ganganagar (Raj.)-335001

For the purpose of Account Opening. I/We hereby declare that the details provided on the KRA/KYC page downloaded from KRA System by you, are true and correct till date. I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I/We are aware that I/We may be held liable for it.

| | First/Sole Holder | Second Holder | Third Holder |
|---------------------|---|---|---|
| Name | _____ | _____ | _____ |
| Signature of Client |  _____ (33/40) |  |  |

Place:

Date: _____ day of _____ 20 _____

**REQUEST LETTER FOR REGISTRATION OF MOBILE NO./E-MAIL ID OF PERSON
BELONGING TO THE CLIENT'S FAMILY**

Please note that the Mobile No./Email ID/both mentioned in the Account Opening Form/request for change in Mobile No./Email ID belongs to Mr./Mrs./Ms. _____

_____ who is my _____

(relationship with the client)

| | |
|--------------------|---|
| Client's Signature |  (34/40) |
| Client Name | |

Only the Mobile No./Email ID of your spouse, dependent children and dependent parents can be registered in your demat account)

CLIENT DEFAULTER DECLARATION

Voluntary

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

| | |
|--------------------|---|
| Client's Signature |  (35/40) |
| Client Name | |

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY
STOCK BROKER TO THE CLIENT**

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

Trading Code _____

| | |
|-----------------------|---|
| Client's Signature |  (36/40) |
| Client Name | |

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| 1 | 2 | 0 | 8 | 9 | 2 | 0 | 0 |
|---|---|---|---|---|---|---|---|

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| | | | | | | | |
|--|--|--|--|--|--|--|--|

(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 +91

| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|

(Please write only the mobile number without prefixing country code or zero)

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)

| | First/Sole Holder | Second Holder | Third Holder |
|--------------------------------|---|---|---|
| Name | | | |
| Signature of Client (37/40) |  |  |  |

Place: _____

Date: _____




**Terms And Conditions for availing Transaction Using Secured Texting (TRUST)
Service offered by CDSL**

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. **Indemnity:**
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. **Disclaimer:**
Depository shall be absolved of any liability in case:-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .

| | First/Sole Holder | Second Holder | Third Holder |
|--------------------------------|---|---|---|
| Name | | | |
| Signature of Client (38/40) |  |  |  |

**NON MANDATORY - POWER OF ATTORNEY
FOR NON INDIVIDUAL (HUF)**

TO ALL TO WHOM THESE PRESENTS SHALL COME I/ we

(1) _____ (2) _____

(3) _____

residing at/having its registered office at (As per KYC)

_____, send greetings.

WHEREAS

I/We hold beneficial owner account number 12089200 _____ with Central Depository Services (India) Limited (CDSL), through **Shree Balaji Multicommodities Private Limited**, a Depository Participant bearing **DP- ID 12089200** registered with Securities and Exchange Board of India(SEBI).




And Whereas I/we am/are desirous to buy and sell securities through **Shree Balaji Multicommodities Private Limited** who is a stock broker registered with SEBI and member of recognized stock exchange/s.

And Whereas I/we am/are desirous of appointing **Shree Balaji Multicommodities Private Limited** as my/our constituted attorney to operate my/our beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

NOW KNOW YOU ALL AND THESE PRESENTS WITNESS THAT

I/we do hereby nominate, constitute and appoint **Shree Balaji Multicommodities Private Limited**, a Member of NSE, BSE & NCDEX as my true and lawful attorney and authorize it to perform the following functions on my behalf:

- i. To transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat account numbers of the stock broker (refer list below) maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities to the clearing/trading member id allotted to the stock broker by any existing or future exchange that the stockbroker has joined will join as a member or to any demat accounts linked to the said clearing/trading member id provided that i/we have executed a client member agreement with the stockbroker for such exchanges.
- ii. To pledge the securities in favour of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stockbroker.
- iii. To re-pledge such securities to the clearing member/clearing corporation as the case may be.
- iv. To return to me/us, the securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me/us;
- v. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis, not with standing any other document to be disseminated as specified by SEBI from time to time.

| | First/Sole Holder | Second Holder | Third Holder |
|--------------------------------|---|---|---|
| Name | | | |
| Signature of Client (39/40) |  |  |  |

- vi. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to oral/written/electronic instructions given by me/us to the stockbroker.




For the Purpose of execution of the above, I authorize the attorney to debit securities for transfer/pledge, as the case may be from my aforesaid beneficial account to below mentioned beneficial account owners:

Details of Shree Balaji MultiCommodities Private Limited accounts where client securities can be moved:

| DETAIL OF DEMAT ACCOUNTS | | |
|--------------------------|-----------------|---|
| CM BP ID/DP ID | Exchange | Description |
| 1100001000024280 | BSE | EARLY PAY IN |
| 1208920000000074 | BSE | CDSL PRINCIPAL ACCOUNT |
| 1208920000000061 | BSE | CDSL POOL ACCOUNT |
| IN301330-22405786 | BSE | NSDL POOL ACCOUNT |
| 1100001100020801 | NSE | EARLY PAY IN |
| 1208920000001601 | NSE | CDSL POOL ACCOUNT |
| IN301330-22406869 | NSE | NSDL POOL ACCOUNT |
| 1208920000002219 | BSE, NSE, NCDEX | TM/CM CLIENT SECURITIES MARGIN PLEDGE ACCOUNT |

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named here in above in the manner specified here in.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at **33 G Block, Sri Ganganagar (Rajasthan)-335001**

| | First/Sole Holder | Second Holder | Third Holder |
|-----------------------------|---|---|---|
| Name | | | |
| Signature of Client (40/40) |  |  |  |

| Witness | |
|----------------|--|
| Name & Address | |
| Signature | |

| Only for HUF Accounts (Mandatory) | | |
|-----------------------------------|--------------------|-----------|
| S.No. | Co- Parceners Name | Signature |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

We Accept

| Shree Balaji Multicommodities Pvt. Ltd. | |
|---|--|
| Signature | |
| Date & Place | |