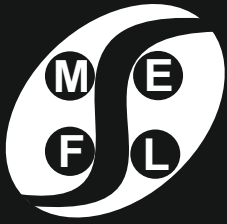


Application No. :



MSE Financial Services Ltd.

Member : NSE & BSE Depository Participant : CDSL

" Your Gateway to Prosperity "

CLIENT NAME : _____

CLIENT CODE : _____

DP ID :

1	3	0	1	7	4	0	0
---	---	---	---	---	---	---	---

CLIENT ID :

0	0						
---	---	--	--	--	--	--	--

ACCOUNT OPENING FORM

Individual Non-Individual

Receipt No.		DIS	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Receipt Date		Nomination	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Location		Power of Attorney	<input type="checkbox"/> Yes / <input type="checkbox"/> No
Scheme Code		BSDA	<input type="checkbox"/> Yes / <input type="checkbox"/> No

KRA Registration

Regn. No.

Regn. Date

CKYC Registration

Regn. No.

Regn. Date

AP / SUB-BROKER SEAL

ACCOUNT OPENING KIT

INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES & DEPOSITORIES			
1	Account Opening Form - Demat & Trading	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	3 - 4 9 - 11
		B. Document captures the additional information about the constituent relevant to demat & trading account and an instruction/ check list.	5 - 8 12 - 13 19 - 20
2	Terms and Conditions -cum-Registration Form - Demat	Terms And Conditions-cum-Registration Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to Bos for all debits and for all credits as well.]	15 - 16
3	Rights and Obligations - Demat	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	17 - 18
4	Rights and Obligations - Trading	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	32 - 33
5	Risk Disclosure Document (RDD) - Trading	Document detailing risks associated with dealing in the securities market.	34 - 35
6	Guidance note - Trading	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	36
7	Policies and Procedures - Trading	Document describing significant policies and procedures of the stock broker	37
8	Tariff sheet - Demat & Trading	Document detailing the rate/amount of brokerage/DP and other charges levied on the client for trading on the stock exchange(s)	14 & 24
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER FOR TRADING / DEMAT			
9	Running Account Authorisation	Required for maintaining clients account on a running account basis.	22
10	FATCA Declaration Form	Foreign Account Tax Compliance Act (FATCA) Declaration	23
13	Power of Attorney (POA)	POA for Pay-In of securities for the purpose of settlement	25
12	Mobile & Email Confirmation, Client defaulter & PMLA Policy Declaration.	Required to receive SMS alerts on the Mobile phone and all communication to email, Client defaulter declaration and Prevention of Money Laundering Act Policy Declaration.	26
14	Digital Statement	Digital Statement by client	27
15	FEMA Declaration Form	FEMA Declaration Form by NRI client	28
16	Form for Declaration & Undertaking	Declaration cum undertaking for name difference in PAN card	29
17	HUF Declaration Form	Declaration Form by HUF	30
18	Acknowledgement	Acknowledgement Receipt by client	38
19	Client's Mandate Form	Client's mandate form for direct payment of depository participant Bills through electronic clearing scheme	39

List of documents for Individual Demat & trading Account				
Sl. No.	PARTICULARS	Page No.	Submitted YES/NO/N.A	Remarks
1	Account opening form duly filled and signed in the respective fields	3		
2	One Passport size colour photograph duly signed across	3		
3	PAN card copy	3 & 5		
4	Address proof (UID-Aadhaar mandatory) / For NRI both Indian & Foreign	3 & 5		
5	Cancelled Cheque Leaf with name printed	6 & 19		
6	Bank passbook with recent statement - not more than 3 months old (only if name is not printed in the above cancelled cheque leaf)	6 & 19		
7	FATCA declaration duly filled and signed	23		

List of additional documents for NRI Client

8	Passport copy including customs stamp for departure & arrival into INDIA	3		
9	RBI permission letter (PIS letter from bank)	3		
10	If NRI applicant is out of India, Copies of all the document submitted by the applicant should be verified by the local Indian embassy or a local banker prior to handing over the same to the NRI service centers	3		
11	Additional Document for NRI Client - FEMA Declaration	28		

List of additional documents for Trading Account

12	Agreement duly signed and witnessed - Only for POA clients	25		
13	IT Returns / Recent six month's bank statement copy / Networth certificate by CA / Latest Demat account holding statement is mandatory for F & O segment	19		

Note : **SELF ATTESTATION** is mandatory for all the documents submitted by the applicant
ORIGINAL DOCUMENTS must be submitted along with the application for verification
IN-PERSON verification is mandatory

For office use only - DP department

Date	Place	Copies received & Originals verified By		Remarks
		Name	Signature	

For office use only - Trading department

Date of receipt of this form & entered by	
Date of activation Trading code & Released by	
Unique Client code & Date of suspension / Cancellation	
Original Verified by	
	Name
	Signature

DETAILS NEEDED FOR ACCOUNT OPENING OF DEMAT & TRADING ACCOUNT.

1. **MOTHER NAME :**
2. **ANNUAL INCOME:** IF ABOVE 5 LAC INCOME WE REQUIRE RECENT IT RETURNS COPY.
3. **OCCUPATION TYPE :**
4. IF YOU ARE IN SERVICE/EMPLOYEE/BUSINESS/ANY OTHERS. WE REQUIRE THE DETAILS OF COMPANY NAME, ADDRESS, DESIGNATION.
5. **PLACE OF BIRTH :**
6. **MOBILE NO. :**
7. **E-MAIL ID :**
8. **NETWORTH :**
9. **NOMINEE DETAILS :**
 - a. NAME :
 - b. RELATIONSHIP WITH THE APPLICANT :
 - c. PAN NO. OF NOMINEE :
 - d. ADDRESS OF NOMINEE :
 - e. MOB. NO. & E-MAIL ID :
 - f. AADHAAR NO. OF NOMINEE :
10. **SELF ATTESTATION** IS MANDATORY FOR ALL THE DOCUMENTS SUBMITTED BY THE APPLICANT.
11. **COUNTER SIGNATURE** IS MANDATORY FOR ANY CORRECTION BY THE APPLICANT.
12. IN CASE OF JOINT DEMAT ACCOUNT, CKYC FORM & FATCA FORM TO BE SUBMITTED SEPARATELY FOR EACH APPLICANT.

Sign in all the places  (27) marked - Pagewise details given below.

Page No.	No. of Signatures	Check & Tick
3	1	<input type="checkbox"/>
4	1	<input type="checkbox"/>
5	2	<input type="checkbox"/>
6	2	<input type="checkbox"/>
7	1	<input type="checkbox"/>
8	1	<input type="checkbox"/>
14	1	<input type="checkbox"/>
16	1	<input type="checkbox"/>
18	1	<input type="checkbox"/>
19	4	<input type="checkbox"/>
20	1	<input type="checkbox"/>
22	1	<input type="checkbox"/>
23	1	<input type="checkbox"/>
24	1	<input type="checkbox"/>
25	2	<input type="checkbox"/>
26	3	<input type="checkbox"/>
27	2	<input type="checkbox"/>
38	1	<input type="checkbox"/>
39	2	<input type="checkbox"/>
41	1	<input type="checkbox"/>



MSE FINANCIAL SERVICES LTD.

Member : NSE & BSE, Depository Participant : CDSL

Regd. Office : # 11, Second Line Beach, Chennai - 600 001 Tel : 044 - 2526 5553, 2521 4442 E-mail : helpdesk@msefsl.com Website : www.msefsl.com

Correspondence Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018. Tel : 044 - 6645 9807 / 9808 / 9815 / 9816 / 9822

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions :

- A) Fields marked with (*) are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD - MM -YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) 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

(To be filled by financial institution)

Application Type *

- New Update

KYC Number

(Mandatory for KYC update request)

Account Type *

- Normal Simplified (for low risk customers) Small

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

	Prefix	First Name	Middle name	last name
<input type="checkbox"/> Name* (same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden name (If any*)	<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"/>
PAN *	<input type="text"/>	UID (Aadhaar) * <input type="text"/>		
Gender*	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T - Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN - Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Individual		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
RBI Ref.No. / PIS No.	<input type="text"/>			
Occupation Type*	<input type="checkbox"/> S- Service (<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector)	
	<input type="checkbox"/> O- Others (<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife
	<input type="checkbox"/> B- Business	<input type="checkbox"/> Student	<input type="checkbox"/> X- Not categorised	

PHOTO

Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end.)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

A - Passport Number Passport Expiry date

B - Voter ID card

C - PAN card

D - Driving Licence Driving Licence Expiry Date

E - UID (Aadhaar)

F - NREGA Job card

Z - Others (any document notified by the central government) Identification Number

S - Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS(PoA)*

4.1 CURRENT/PERMANENT / OVERSEAS ADDRESS DETAILS (Please refer instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)

Voter Identity card NREGA Job card Others Please specify

Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

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

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS* (Please refer instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill "Annexure A1")

Line 1*

Line 2

Line 3 City / Town / Village*

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

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

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

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email ID) (Please refer instruction F at the end)

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

Fax - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (Please refer instruction F at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle name last name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please refer instruction H at the end)

A - Passport Number Passport Expiry date --

B - Voter ID card

C - PAN card

D - Driving Licence Driving Licence Expiry Date --

E - UID (Aadhaar)

F - NREGA Job card

Z - Others (any document notified by the central government) Identification Number

S - Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. 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 hereby consent to receiving information from Centrak KYC Registry through SMS/Email on the above registered number/email address. 

Date : -- Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies Original verified & self attested document copies received

KYC VERIFICATION CARRIED OUT BY

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

(Employee Signature)

INSTITUTION DETAILS

Name : **MSE FINANCIAL SERVICES LTD.**

Code : **IN0463**

[INSTITUTION STAMP]

	<h1 style="margin: 0;">MSE FINANCIAL SERVICES LTD.</h1> <p style="margin: 0;">Member : NSE & BSE Sebi Regn. No. : INZ000171535 Depository Participant : CDSL Sebi Regn. No. : IN-DP-CDSL-690-2013 Regd. Office : # 11, Second Line Beach, Chennai - 600 001 Tel : 044 - 2526 5553, 2521 4442 Correspondence Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018. Tel : 044 - 6645 9807 / 9808 / 9815 / 9816 / 9822 E-mail : helpdesk@msefsl.com Website : www.msefsl.com</p>
--	--

(To be filled by the Depository Participant)

DP Internal Reference No.										Date											
DP ID	1	3	0	1	7	4	0	0	Client ID	0	0										

(To be filled by the applicant in BLOCK LETTERS in English)

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

Holders Details

Sole/ First Holder's Name		PAN										
		UID										
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 Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <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 (Incase the account holder is a 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 would be 'No')	<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 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
--	--

I / We would like to receive the Tariff card & Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic
---	---

I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and 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') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--



Signatures

Sole / First Holder



(5) Second Holder



Third Holder

Third Holder



Second Holder



Sole / First Holder



Signatures

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		Pincode				

Third Holder

- (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	Income Range per annum:
Gross Annual Income	<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 Rs.10,00,000
Details	<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) _____ (DD/MM/YYYY) Rs. _____ (Net worth should not be older than 1 year)
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify) _____
Please tick, if applicable :	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)
Any other information :	

Second Holder



Sole / First Holder

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 & 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"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>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 CDSL's website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the Portfolio online.									

Signatures



Signatures

Sole / First Holder

Second Holder

Third Holder

Nomination Form for Demat / Trading Account



MSE FINANCIAL SERVICES LTD.

Member : NSE & BSE Sebi Regn. No. : INZ000171535
Depository Participant : CDSL Sebi Regn. No. : IN-DP-CDSL-690-2013
 Regd. Office : # 11, Second Line Beach, Chennai - 600 001 Tel : 044 - 2526 5553, 2521 4442
 Correspondence Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018. Tel : 044 - 6645 9807 / 9808 / 9815 / 9816 / 9822
 E-mail : helpdesk@msefsl.com Website : www.msefsl.com

Nominee Details

Registration No. _____	Date	_____
------------------------	------	-------

Dear Sir/Madam,

I / We the Sole holder / Joint holders / Guardian (in case of minor) hereby declare that :

I / We **do not wish to nominate any one for this demat / Trading account.**

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

I / We **nominate** the following person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

DP ID	1	3	0	1	7	4	0	0	CLIENT ID	0	0					
-------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--

Client Code : _____

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name :	_____	_____	_____
Middle Name :	_____	_____	_____
*Last Name	_____	_____	_____
Nomination Details	Nominee 1	Nominee 2	Nominee 3
*Address			
*City			
*State			
*Pin			
*Country			
Telephone No.			
FAX No.			
PAN No.			
UID			
Email ID			
*Relationship with the BO			
Date of birth (Mandatory if Nominee is a minor) dd-mm-yyyy			
Name of the Guardian of Nominee (if nominee is a minor)			
*First Name :	_____	_____	_____
Middle Name :	_____	_____	_____
*Last Name	_____	_____	_____



Signatures



Sole / First Holder



Second Holder

Third Holder

Nomination Details	Nominee 1	Nominee 2	Nominee 3
*Address of the guardian of nominee			
*City			
*State			
*Pin			
*Country			
Age			
Telephone			
Fax No.			
Email ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Fractional allocation of the securities if any [Please tick the respective nominee, (any one) if tick not marked default will be first nominee]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Note : The nominee residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.


*** Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me us.

Note : One witness shall attest signature(s) / thumb impression(s)

	WITNESS 1	WITNESS 2
NAMES OF WITNESS		
ADDRESS OF WITNESS		
SIGNATURE OF WITNESS		

I/We have read the Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I / We agree and undertake to intimate the DP 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 or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

(Signatures should be preferably in black ink).



MSE FINANCIAL SERVICES LTD.

Member : NSE & BSE Depository Participant : CDSL
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 Correspondence Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018.
 Tel : 044 - 6645 9807 / 9808 / 9815 / 9822 E-mail : helpdesk@msefsl.com Website : www.msefsl.com

Application No. _____

CLIENT ID : _____

(Please fill in **ENGLISH** and in **BLOCK LETTERS**)

A. IDENTITY DETAILS (Please see guidelines overleaf)

- Name of Applicant** (Please write complete name as per Certificate of Incorporation/ Registration; leaving one box blank between 2 words. Please do not abbreviate the Name)

- Date of Incorporation :** _____ (dd/mm/yyyy) **Place of Incorporation :** _____
- Registration No. (e.g. CIN) :** _____ **Date of Commencement of business :** _____ (dd/mm/yyyy)
- Status** Please tick (✓) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust/Charities/NGOs
 FI FII HUF AOP Bank Government Body Non-Government Organisation
 Defence Establishment Body of Individuals Society LLP Others (Please specify) _____
- Permanent Account Number (PAN) (MANDATORY):** _____ Please enclose a duly attested copy of your PAN Card.

B. ADDRESS DETAILS (Please see guidelines overleaf)

- Address for correspondence :** _____

 City/town/village: _____ Pincode: _____ State: _____ Country: _____
- Contact Details:** Tel.(Off.) _____ Tel.(Res.) _____ Mobile No: _____
 Fax: _____ Email id : _____
- Proof of address submitted to be provided by Applicant. Please submit ANY ONE of the following valid document & tick (✓) against the document attached**
 * Latest Telephone Bill (Only Landline) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf) _____
 * Not more than 3 months old **Validity/Expiry date of proof of address submitted** _____ (DD/MM/YYYY)
- Registered Address (if different from above) :**

 City/town/village: _____ Pincode: _____ State: _____ Country: _____
- Proof of address submitted to be provided by Applicant. Please submit ANY ONE of the following valid document & tick (✓) against the document attached**
 * Latest Telephone Bill (Only Landline) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf) _____
 * Not more than 3 months old **Validity/Expiry date of proof of address submitted** _____ (DD/MM/YYYY)

C. OTHER DETAILS (Please see guidelines overleaf)

- Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole time directors :**
 (Please use the Annexure to fill in the details)
- Any other information :** _____

DECLARATION

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

Place : _____ Date : _____

NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)

S1

S2

FOR OFFICE USE ONLY

AMC Intermediary name **OR** code

MSE FINANCIAL SERVICES LTD.

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

Main Intermediary

Staff Name : _____
 Staff Designation : _____
 Signature of the Staff: _____
 Date : _____ Stamp /seal

For **MSE FINANCIAL SERVICES LTD.**

Authorised Signatory

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

B. Proof of Identity (POI) : List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card/ Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments Statutory/Regulatory Authorities, Public Sector Undertakings Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

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

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	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. Promoters, Whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

S3



Name & Signature of the Authorised Signatory(ies)

Date :

PEP : Politically Exposed Person

RPEP : Related to Politically Exposed Person

	<h1 style="margin: 0;">MSE FINANCIAL SERVICES LTD.</h1> <p style="margin: 0;">Member : NSE & BSE Sebi Regn. No. : INZ000171535 Depository Participant : CDSL Sebi Regn. No. : IN-DP-CDSL-690-2013 Regd. Office : # 11, Second Line Beach, Chennai - 600 001 Tel : 044 - 2526 5553, 2521 4442 Correspondence Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018. Tel : 044 - 6645 9807 / 9808 / 9815 / 9816 / 9822 E-mail : helpdesk@msefsl.com Website : www.msefsl.com</p>
---	--

(To be filled by the Depository Participant)

DP Internal Reference No.										Date											
DP ID	1	3	0	1	7	4	0	0	Client ID	0	0										

(To be filled by the applicant in **BLOCK LETTERS** in English)

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

Holders Details

Sole/ First Holder's Name	Search Name	PAN															
		UID															
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 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"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (specify) : _____		To be filled by the DP	
SEBI Registration No. (If Applicable)		SEBI Registration date	
RBI Registration No. (If Applicable)		RBI Approval date	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others(specify) _____		

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 would be 'No')	<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 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
--	--

I / We would like to receive the Annual Report	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)
--	---


I / We would like to receive the Tariff card & Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic
---	---

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

I/We wish to receive dividend / interest directly in to my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

 **S6**



Signatures **Sole / First Holder** **Second Holder** **Third Holder**

Third Holder
 Second Holder
 Sole / First Holder
 Signatures

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		Pincode				

- (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.

Third Holder




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 Rs.10,00,000
	<input type="checkbox"/> Rs.10,00,000 to Rs.25,00,000	<input type="checkbox"/> Rs.25,00,000 to Rs.1,00,00,000	<input type="checkbox"/> More than Rs.1,00,00,000
	Net-worth as on (date) _____ (DD/MM/YYYY) Rs. _____ (Net worth should not be older than 1 year)		
Please tick if any of the authorised signatories / Promoters / Partners / karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP). Please provide details as per Annexure 2.2A.			
Any other information :			

Second Holder

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 & 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"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>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 CDSL's website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the Portfolio online.									

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

Sole / First Holder

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signatures			

Signatures

(Signatures should be preferably in black ink).

(In case of more authorised signatories, please add annexure)



MSE FINANCIAL SERVICES LTD.

Member : NSE & BSE Sebi Regn. No. : INZ000171535

Depository Participant : CDSL Sebi Regn. No. : IN-DP-CDSL-690-2013

Regd. Office : # 11, Second Line Beach, Chennai - 600 001 Tel : 044 - 2526 5553, 2521 4442

Correspondence Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018. Tel : 044 - 6645 9807 / 9808 / 9815 / 9816 / 9822

E-mail : helpdesk@msefsl.com Website : www.msefsl.com

TARIFF CARD FOR BENEFICIARY OWNER ACCOUNT HOLDERS :

SERIAL. No.	ITEM	TARIFF (Rs.)
1.	Account Opening Charges	Nil
2.	Annual Maintenance Charges - Individual	Rs. 300/-
3.	Annual Maintenance Charges - Non Individual	Rs. 800/-
4.	Custody Charges	Nil
5.	Dematerialisation Charges (Per Certificate)	Rs. 2/-
6.	Postage per Demat request	Actuals
7.	Rematerialisation Charges and Postage	Rs. 30/- (per 100 shares) + Actuals (Postage)
8.	Sale Transactions (includes failed transaction)	Minimum Rs. 11/- per instruction or 0.020% per Scrip
9.		whichever is higher (subject to maximum of Rs.1000/-)
	Same Day Execution - Per Instruction / Per Scrip	Rs. 50/- or 0.025% whichever is higher
10.	Pledging & Unpledging Charges Per Scrip	Rs. 27/-
11.	Pledge Invocation Charges	Rs. 20/-
12.	Miscellaneous Charges	Actuals

Notes :

1. Annual Maintenance Charges are levied upfront for a period of one year from the date of opening the account.
2. Late transaction charges would be collected for all instruction received after 4 p.m. for same day execution or execution date as pay-in date.
3. All charges will be collected upfront. BO are requested to maintain sufficient credit balance in demat account in order to avoid non execution of delivery instruction (DIS) / any other instruction(s).
4. Interest @ 18% p.a. will be charged for non payment of bills.
5. The DP will not be responsible for any claims in case of instruction received late i.e., On the same day for pay-in
6. MSEFSL reserves the right to change the rates from time to time by giving notice.
7. Any service not covered above will be charged separately.
8. All taxes / levies / cess as applicable.

*** The above charges are exclusive of GST and other levies by Government bodies / statutory authority from time to time.

*** Cheque / DD to be issued in favour of " MSE FINANCIAL SERVICES LTD".

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature			

Terms And Conditions-cum-Registration Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits and for all credits as well.]

Definitions:

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

1. "Depository" means Central Depository (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 - 400 001 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 account holders 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 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 from the 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 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 with out 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)

BO ID	1	3	0	1	7	4	0	0		0	0						
-------	---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--	--

(Please write your 8 digit DP ID)

(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)



Signatures

Sole / First Holder

Second Holder

Third Holder

Place : _____



MSE FINANCIAL SERVICES LTD.

DEPOSITORY PARTICIPANT - CDSL

DP SEBI REG NO.: IN-DP-CDSL-690-2013 DP ID : 13017400

Regd. Office : 11, Second Line Beach, Chennai - 600 001.

BO ID

1	3	0	1	7	4	0	0		0	0						
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--	--

(Please write your 8 digit DP ID)

(Please write your 8 digit Client ID)

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such Bos and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

11/27

Signatures

Sole / First Holder

(17) Second Holder

Third Holder

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

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI.
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.



Signatures

Sole / First Holder

Second Holder

Third Holder

Name(s)

ADDITIONAL DETAILS FOR TRADING ACCOUNT

A. BANK DETAILS (Please attach separate sheet & documentary proof if more than two Bank accounts has to be registered)

Bank Name		Bank A/C Type	<input type="checkbox"/> Savings / <input type="checkbox"/> Current /										
Bank A/C Number*			<input type="checkbox"/> Others-in case Of NRI/NRE/NRO										
Bank Branch Address													
MICR	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>											RTGS/NEFT/IFSC	

Bank Name		Bank A/C Type	<input type="checkbox"/> Savings / <input type="checkbox"/> Current /										
Bank A/C Number			<input type="checkbox"/> Others-in case Of NRI/NRE/NRO										
Bank Branch Address													
MICR	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>											RTGS/NEFT/IFSC	

*Payment will be issued to the said Bank account by default unless & otherwise specified

B. DEPOSITORY ACCOUNT(S) DETAILS (Attach Client Documentary Proof for each Client ID)

Depository Participant Name (DP)	Depository Name(NSDL / CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

C. 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	Name of the Segment	Signature of the Client
NSE	CASH	<input type="checkbox"/> 13a 27
NSE	DERIVATIVES	<input type="checkbox"/> 13b 27
BSE	CASH	<input type="checkbox"/> 13c 27
BSE	DERIVATIVES	<input type="checkbox"/> 13d 27

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

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/ authorized persons in charge of dealing in securities during the last 3 years :if yes, give details	<input type="checkbox"/> Yes <input type="checkbox"/> No

E. DEALINGS THROUGH AP/SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details :			
AP/Sub Broker Name	SEBI Registration No.	Registered Office Address	Phone / Fax Details
Whether dealing with any other Stock Brokers/ AP / Sub Brokers			<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, give details (Please Provide details of all)			
Stock Broker Name	AP / Sub Broker Name	Exchange	Client Code
Details of disputes/dues pending from / to such stock broker/AP/sub-broker :			

F. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (Please specify) :			
Physical contract note	<input type="checkbox"/> yes <input type="checkbox"/> No	Electronic Contract Note (ECN)	<input type="checkbox"/> yes <input type="checkbox"/> No
Specify you E-mail id, if applicable			
Whether you wish to avail of the facility of internet trading / wireless technology (Please specify)			
Internet trading facility	<input type="checkbox"/> yes <input type="checkbox"/> No	Wireless technology facility	<input type="checkbox"/> yes <input type="checkbox"/> No
Wish to receive Copy of Standard Documents like Rights & Obligations, Uniform Risk Disclosure Documents, Guidance Note detailing Do's and Don'ts & Policies and procedures.			<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Investment Experience	No Prior Experience _____	In Stocks _____ years	In Derivatives _____ years
	In other Investment related field _____ years		

G. INTRODUCER DETAILS (Optional)

Introducer's name		Introducer's PAN	
Introducer's address			
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, please specify _____		
Client Code			
Introducer's Signature			

DECLARATION

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



Place :
Date:

Signature of Client

FOR OFFICE USE ONLY

UCC Code allotted to the Client :

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

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

For MSE FINANCIAL SERVICES LIMITED**Authorised Signatory****Signature & Stamp of the AP/Sub- broker****Stamp/seal of the Stock broker****Date :****INSTRUCTIONS/ CHECK LIST**

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

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

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

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

**RUNNING ACCOUNT AUTHORISATION
VOLUNTARY REQUIREMENT**

To

**MSE Financial Services Limited
No.11, Second Line Beach, Chennai - 600 001.**

Dear Sirs,

SUB : Maintenance of my / our Trading Account on a running account basis

Notwithstanding anything contrary contained in the agreement between us, I / We hereby request you to maintain my / our record, both FUNDS AND SECURITIES on a running account basis. This will facilitate me / us in my / our transactions through you. I / We also request you to consider the balances in my / our running funds and securities account with you for the purpose of margins / any other obligations due to you.

I / We request you to settle my / our fund and securities account

- Once in every Calendar quarter **or**
 Once in a Calendar month

and also request you to release the funds and securities due to me / us on my / our specific request, either written or oral.

I / We authorise MSE Financial Services Ltd to sell the securities or close the positions without giving any notice to me / us on account of non-payment of dues.

The above authorization may be revoked by me / us at any time through a written letter. I/We aware that the authorization has to be renewed every year by me/us.

You may charge the cost of holding securities to my / our account.

Yours faithfully,



Signature : _____

Date : _____

Name of the Client : _____

Client Code : _____

Address of Client : _____

DECLARATION BY THE AP / SUB-BROKER

I/We hereby declare that Mr./Mrs. _____ is known to me/us and he / she / they can be registered as a Client of M/s. MSE Financial Services Ltd., I/We undertake to clear the trades of the above Client.

I/We hereby authorize you to adjust the shortfall if any, of margin/settlement dues of the above client by debiting to my / our Bank Account or to my/our capital adequacy deposit maintained with you.

I/We hereby agree to indemnify M/s. MSE Financial services Ltd. in relation to the dealings of the said client, with you, through us, arising out of losses / defaults or any other risk that may occur.

Date :

Place :

(Signature)

Name & Designation of the Signatory

(Seal of the AP / Sub-broker)
(22)

FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) DECLARATION

Client Code : _____

DP ID	1	3	0	1	7	4	0	0	CLIENT ID	0	0						
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Place / City of Birth : _____

ISO Country Code of Birth : IN

Is your Country of Tax Residency other than India Yes No
 (Please tick at appropriate place)

If 'Yes', Please specify the details of all countries where you hold tax residency and its Tax Identification Number & type


S No.	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type <i>(TIN or other, please specify)</i>
1			
2			
3			

to include all countries other than India, where investor is Citizen / Resident / Green card Holder / Tax Resident in those respective countries especially of USA

Declaration :

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I hereby authorize you [**MSE Financial Services Ltd.**] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Regulators, their employees ('the Authorized parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit - India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same.

Further, I authorize you to share the given information to other SEBI Registered Intermediaries/or any other regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators / tax authorities. I/We authorize **MSE Financial Services Ltd.** to provide relevant information to the above regulators and to enable withholding any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

Signature :  _____

Name of the Client : _____

Date : _____

Place : _____

TARIFF SHEET

Unique Client Code : _____

Cash Segment : Delivery _____ % Jobbing _____%

Min _____ Min _____

Derivatives Segment :

Instrument Name	First Leg	Second Leg	%

The following charges will be collected from the client for the trades done thru MSE Financial Services Ltd.

- A. Brokerage as mentioned above will be charged. However, the brokerage will be allowed to change by the AP / sub-brokers on receipt of clients confirmation, whenever need arises.
- B. Statutory charges such as Security Transaction Tax (STT), Exchange Transaction Charges (TO), Stamp duty, GST, will be charged to the client as applicable rates prescribed by the appropriate authorities.
- C. Minimum contract value of Rs.25/-
- D. Delivery instruction slip (DIS), Inter settlement and Power of Attorney (POA) - Rs. 11/- plus GST or 0.02% of the value of ISIN.
- E. KYC Application Form Rs.100/-
- F. Power of Attorney (POA) Rs.110/-
- G. Penalties as imposed by the Exchanges and Depositories.
- H. Delayed payment charges - Rs.100/- per day of default or 24% per annum on the amount of default, whichever is higher till the amount is paid.
- I. Cheque dis-honour charges - a minimum penalty of Rs.250/- per instance or 1% of the value of the cheque whichever is higher.
- J. Cheque stop payment charges - as applicable by the banks.

POWER OF ATTORNEY (POA) FOR PAY-IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT

TO ALL TO WHOM THESE PRESENTS SHALL COME I / WE 1) _____ ,
 2) _____, 3) _____ an Individual / a sole proprietary
 concern / a partnership firm / a body corporate / trust, having his / her / its residence / registered office / place of
 business at _____
 (hereinafter referred to as "client"), bearing **Unique Client Code (UCC)** _____

Whereas I/we hold a Beneficiary account number

1	3	0	1	7	4	0	0				
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 BO-ID) with Central Depository Services (India) Limited, through **M/s. MSE FINANCIAL SERVICES LIMITED** bearing
 DP- ID **13017400**

And Whereas I/we am/are investor engaged in buying and selling of securities through **MSE FINANCIAL SERVICES LTD**, a
 member of **NATIONAL STOCK EXCHANGE OF INDIA LIMITED** and **BSE LIMITED** bearing **SEBI Registration No. INZ000171535**.

And Whereas due to exigency and paucity of time, I/we am/are desirous of appointing an agent /attorney to operate the aforesaid beneficiary
 account on my behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/WE THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE / AND
 APPOINT M/S.MSE FINANCIAL SERVICES LTD (name of the attorney/Clearing Member) as my/our true and lawful attorney (hereinafter
 referred to as the attorney) for me/us and on my/our behalf and in my/our name to do instruct the aforesaid Depository Participant to debit
 securities and / or to transfer securities from the aforesaid account for the purpose of delivering the same to the clearing house of the
 recognized stock exchange toward any segment in respect of securities sold by me/us through them.

This authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me/us through MSE FINANCIAL SERVICES
 LTD (name of Clearing Member) and I/we ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named
 hereinabove to the respective Clearing Accounts of National Stock Exchange of India Limited and Bombay Stock Exchange Limited viz.,

Name of the Exchange	CDSL CM ACCOUNT/EARLY PAY-IN	NSDL CM BP ID
BSE Ltd.	1301740000172651/1100001000018319	IN657019
National Stock Exchange of India Ltd.	1301740000172645/1100001100019872	IN567230

respectively in the manner specified herein.

Further, if the Clearing Member wish to open any other pool A/c. for the purpose of settlement, the same POA can be
 used to transfer the securities for my selling obligation through the Clearing Member.

This authority can be exercised even if the account balance serves only part of my / our Pay-in obligations. MSE
 Financial Services Ltd. will not be liable for auction that may arise due to shortage of shares in the account after 3.00 pm
 on T+1 day.

I/We hereby agree that MSE FINANCIAL SERVICES LTD. would return to the client(s) /BO Holder, the securities that may
 have been received by it erroneously or those securities that it was not entitled to receive from the client(s)/BO Holder.

I / we hereby agree that all acts and deeds done by MSE Financial Services Ltd. under this authorization shall be
 construed as acts and deeds done by me / us, jointly as well as severally and further confirm and ratify all and
 whatsoever MSE Financial Services Ltd. shall lawfully do or cause to be done by virtue of this authorization.

I / We hereby authorize MSE FINANCIAL SERVICES LTD. to pay DP charges due to MSE FINANCIAL SERVICES LIMITED
 arising out of transactions in the above B.O account, under this power of attorney, by debiting my / our trading ledger
 account with MSE FINANCIAL SERVICES LTD, until my / our trading account is active in MSE FINANCIAL SERVICES LTD.

I/we further agree and confirm that the powers and authorities conferred by this Power of Attorney shall be in force
 until the same is revoked by me/us in writing to the Depository Participant any time.

SIGNED AND DELIVERED

By the within named Beneficial Owner(s)

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature	18/27		

WITNESSES:
 Signature 1 : _____

NAME : _____

ADDRESS : _____

I/We Accept
 For **MSE FINANCIAL SERVICES LTD.**

For **MSE FINANCIAL SERVICES LTD.**

Authorized Signatory
 Place: _____ Date: _____

Authorized Signatory

Master POA ID : **2301740000000529**

Sole / First Holder

Second Holder

Third Holder

Signatures



VOLUNTARY REQUIREMENT

To

Date : _____

MSE Financial Services Ltd.

11, Second Line Beach, Chennai - 600 001.

CONFIRMATION OF MOBILE NUMBER / E-MAIL IDs

With reference to my trading account with you under Client Code _____ kindly note that my e-mail id is _____ and mobile number is _____ and the same e-mail ID and mobile number is also attached to client code, _____, who is/are related to me.

Please send all the ECNs, statements and any other communication from MSEFSL / BSE / NSE to this e-mail id / mobile number, for which I do not have any objection.

Yours faithfully,



Signature

: _____

Name: Client Code:

CLIENT DEFAULTER DECLARATION

Date : _____

I, _____ having PAN no. _____

do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI / Various Exchanges / Regulatory bodies / CIBIL (Credit Information Bureau of India Ltd.) etc.

I further declare that the above mentioned declaration/statement is true and correct.



(Signature of Client)

Name: Client Code:

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.]

PMLA POLICY DECLARATION

I/We _____ having the trading code no. _____ with MSEFSL confirm and declare that I/We had read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained by MSEFSL official / AP staff / Sub-broker staff. I/We further declare that I/We shall adhere to the rules and regulations and requirements mentioned in the PMLA Act, 2002. I/We aware that the said PMLA policy is available in your website www.msefsl.com.

Yours faithfully,



Signature

: _____

Name of the Client

: _____

DIGITAL STATEMENT

Date : _____

To,

MSE FINANCIAL SERVICES LTD.

11, Second Line Beach, Chennai - 600 001.

Reg : Beneficial Owner (BO) Account No.

DP ID	1	3	0	1	7	4	0	0	CLIENT ID	0	0						
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I / We _____




[Name(s) of the BO(s)] have confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I / We confirm that the dispatch of statement of account to me / us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me / us with statement of my / our BO account. But I / We reserve my / our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

[E-mail address : _____]

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

Yours faithfully,

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature			

AUTHORITY LETTER

With respect to the client - member relationship with you, we authorize you to do the following:

- 1) Adjustment of account between exchanges and segments :** I / We hereby inform you that I have executed a KYC with you for trading on different exchanges, i.e., NSE & BSE in cash and derivative segments. I/We request you to transfer, make adjustments and / or set off a part or whole of any surplus funds in any of the accounts maintained with you against the outstanding dues payable if any, by me/us to any of my/our account(s) maintained with you. Any entries passed by you in accordance with this authorization will be binding on me/us.
- 2) Authorization to debit Demat Account operating charges :** I/We opened/ have a Beneficiary account with you and I/we have a trading account with you for investment and trading purpose. It will be very difficult for me/us to issue separate cheques against your depository bills. Hence, I / We authorize you to debit the trading account for the transaction charges / POA charges / AMC & any other charges payable to you as Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.
- 3) Authorization For Communication of Financial Products**
I/We have opened an account with you and am/are interested in knowing about other financial products.
I/We authorize you, your group companies and associates to keep me / us informed with any financial product which MSE Financial Services Limited (MSEFSL), its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute; through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

Please score out whatever not accepted/ not agreed with.

Signature of Client : 



MSE FINANCIAL SERVICES LTD.

MEMBER : NSE & BSE
DEPOSITORY PARTICIPANT - CDSL
Regd. Office : 11, Second Line Beach, Chennai - 600 001.

BO ID	1	3	0	1	7	4	0	0		0	0						
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Client Code : _____

FEMA DECLARATION FORM

Dear Sir / Madam,

With reference to my / our application for opening of a Demat / Trading account with you, I/We hereby confirm that I am a / We are non-resident Indian(s) / foreign national(s) Individual(s). I/We also confirm that I/We have complied with **FEMA (erstwhile FERA)** Regulations and I/We would continue to comply with **FEMA (erstwhile FERA)** regulations.



Signatures

Sole / First Holder

Second Holder *

Third Holder *

Place: _____

Date : _____

(* To be signed if second and/or third holder(s) is/are NRI(s) or FN(s). Not to be signed if second and/or third holder(s) is/are resident Indian(s))

Date : _____

From

To,

MSE FINANCIAL SERVICES LTD.

11, Second Line Beach, Chennai - 600 001.

Dear sir/Madam,

Sub : Self Declaration of foreign address

Above mentioned address is my present address. If there is any changes in the above address, I will inform you in writing immediately.



Signatures

Sole / First Holder

Second Holder *

Third Holder *

Place: _____

Date : _____

(* To be signed if second and/or third holder(s) is/are NRI(s) or FN(s). Not to be signed if second and/or third holder(s) is/are resident Indian(s))

SELF DECLARATION – NAME MISMATCH

Date										
------	--	--	--	--	--	--	--	--	--	--

To

MSE FINANCIAL SERVICES LIMITED

11, Second Line Beach,
Chennai - 600 001.

Dear Sir/Madam,

PAN										
-----	--	--	--	--	--	--	--	--	--	--

I, Mr/Mrs/Ms. _____ [please mention the name as required in your trading / demat account with MSE Financial Services Limited (MSEFSL)], desire to open a trading and demat account with you as per the name mentioned above, I, state and declare that my name has been mis-spelt / has variations as per the various documents given by me, for opening of Trading & Demat account with MSEFSL.

Details of the mismatch or variations in my name are as follows :

My name as per PAN CARD	
My name as per PAN SITE	
My name as per BANK (proofs enclosed)	
My name as per ADDRESS proof, if any	
My name as per DEMAT proof, if any	
My name as per ADDITIONAL proof, if any	

I hereby agree and confirm that what is stated above is true and correct information. I hereby agree to indemnify and keep MSEFSL indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by MSEFSL for any act done or omitted to be done based on the above declaration.

Yours faithfully,



Signature of client

CLIENT NAME : (As per KYC form)	
CLIENT ADDRESS (Full address of Client)	

HUF DECLARATION FORM

To
MSE Financial Services Ltd.
11, Second Line Beach, Chennai - 600 001.

Place : _____

Date : _____

Dear Sir,

We, the Co- Parceners of _____ (HUF) have decided to open a trading / Demat account with M/s MSE Financial Services Ltd. for dealing on Cash/ F&O Segments of BSE/NSE/CDSL.

Mr. _____ is the Karta/Manager of the above Hindu Undivided Family (HUF) and is authorized to open and operate singly, the trading/demat account with M/s MSE Financial Services Ltd. , in the name of the HUF for the purpose of making use of the broking, trading, demat and other services offered by and sign all forms and documents for and on behalf of the HUF.

We declare and state that the Karta is authorized to sell/ purchase, transfer and carry out demat account related activities, endorse, negotiate, execute, open account where necessary, place orders, receive/ acknowledge contract notes/ ledgers, receive/ make payments and /or otherwise deal through MSE Financial Services Ltd. on behalf of the HUF. MSE Financial Services Ltd. is hereby authorized to bind all members of the HUF, however constituted from time to time. The specimen signatures of all the co-parceners are given below.

We are, however, jointly and severally responsible for all liabilities of the said HUF to the Member/DP and agree and confirm that claim due to the Member/DP from the said HUF shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.

We undertake to advise the Member/DP in writing of any change that may occur in Kartaship or in the constitution of the said joint family or of said HUF firm and until receipt of such notice by the Member/DP which shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member/DP for all dues, obligations of the said and obligations shall have been liquidated and discharged.

S.No.	Name	Male/ Female	Date of Birth	PAN	Relationship with Karta
1					
2					
3					
4					
5					

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

Yours truly,

Signature of Karta
(with rubber stamp)

1. _____

2. _____

3. _____

4. _____

5. _____

Signature of Co-Parceners

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES
(To be obtained on the pre-printed Letter head of the Company)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF _____ HAVING ITS REGISTERED

OFFICE AT _____

HELD ON _____ DAY OF _____, 20____ AT _____.

Resolved that the Company be empowered to open Demat & Trading account and to deal in Capital Market / F&O segment or any other segment that may be introduced by NSE / BSE / CDSL / NSDL / MSE FINANCIAL SERVICES LIMITED in future, the said Trading Member/DP be and is hereby authorized to honour instructions, oral or written, given on behalf of the company by any of the under noted authorized signatories:

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

who is /are authorized to sell, purchase, transfer and carry out demat account related activities and/or other activities, endorse, negotiate documents and / or otherwise deal through MSE FINANCIAL SERVICES LIMITED on behalf of the Company.

RESOLVED FURTHER THAT Mr. _____ and / or

Mr. _____, and / or Mr. _____

Authorized Signatory of the Company be and are hereby authorized to sign, execute and submit such application, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any one director and Company Secretary, who shall sign the same in token of their presence.

For _____

Director / Company Secretary
 (Signature to be verified by the Banker)

SPECIMEN SIGNATURES OF THE AUTHORIZED PERSONS

Sr. No.	Name	Specimen Signatures
1.	_____	ⓧ _____
2.	_____	ⓧ _____
3.	_____	ⓧ _____

The above signatures to be attested by the person signing the resolution for account opening on behalf of the Company.

RIGHTS AND OBLIGATIONS

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

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

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter, including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

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

Where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/ regulations/ circulars/ guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

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

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

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

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

GUIDANCE NOTE

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

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

send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/COMPLAINTS

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

POLICIES AND PROCEDURES

1. De-registering of client

The Stock Broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances.

- On the death/disability of the client
- client suffers any adverse material change in his/her financial position or defaults in any other agreement with broker
- client is in breach of any terms, condition of the agreement
- client has made any misrepresentation of fact.
- Client voluntarily wants to close the account, subject to payment of all dues to the Company

2. Temporarily suspending or closing client account at client request:

On the request of the client in writing, the client account will be suspended temporarily and same is re-activated on the written request from the client. During the suspension period, the settlement activities of the client will take place and the trading in that account is prohibited.

On the request by the client in writing, the client account can be closed provided the dues of the client is settled. If the client wants to re-open the account, the KYC requirements has to be completed again.

3. Re-activation of dormant/inactive client account:

Clients who have not traded for a period of 12 months, the respective account will be treated as DORMANT/INACTIVE. To ascertain, the identification of such client will be done at the beginning of each month where the clients who do not trade even for a single day will be considered as DORMANT/INACTIVE and the available shares/funds as per the ledger balance will be transferred to the respective client within 7 days from the date of identifying the client account as inactive.

For re-activation, the client has to make a written /email request stating the reasons for not trading during the period. Based on the reply, the said client account will be activated

4. Setting of exposure limits & Conditions under which client may not be allowed to take further positions or broker may close the existing position of client:

The trading limit per client of AP/sub-broker will be 8- times of the credit balance available in the account of the respective client and additional deposit, if any given by the client /AP/ sub-broker. Clients may be allowed to take positions (margin consumed) upto the amount of credit available to his account or to the extent of the deposits made by the AP/sub-brokers. This trade limit may be modified/alterd as per the Surveillance / RMS measures without any notice to the client / AP/subbroker.

In case of increase in trading limits sought during market hours, either the AP/ SBs or their clients shall transfer funds to the Account of MSEFSL on-line and request for such increase, in writing, either through fax or e-mail.

Additional capital deposited by the AP/sub-broker / client will be refunded only on request from the respective AP/sub-broker / client, on T+4 day from the date of receipt of deposit by MSE FSL

The trading limits for the clients may vary/reduced or imposed new limits on the basis of the risk perception of the Company. MSEFSL shall not be responsible for such variation/reduction in limits/inability to route any order through the system on account of any such variation / reduction/imposition of limits.

The losses incurred if any by the clients due to the setting of limits by the Company due to risk perception, shall be borne exclusively by the client alone.

5. Applicable brokerage rate:

Brokerage will be charged within the limits prescribed by the Exchange/SEBI.

6. Right to sell client position without notice on account of non-payment of dues:

MSEFSL will liquidate/close-out all or any one of the clients position limits to the outstanding amount, without giving notice to the client for non-payment of margins/any other amount including pay-in obligation and outstanding dues etc

and adjust the proceeds of such liquidation/close-out if any, against the client liabilities/obligations.

7. Imposition of Penalty/delayed payment charges:

When a client has purchase position on T-day and subsequently sold the securities on T+1 day, if the pay-in obligation is defaulted by the client, a minimum penalty of Rs.100/- per day of default or @ 24% p.a. on the amount of default (whichever is higher) will be charged to the client and his account will be debited accordingly.

In case of non-payment of settlement dues, the securities will be withheld and transferred to the House A/c. of MSEFSL. Subsequently when the client's A/c. has credit balance, the securities will be re-transferred to his Demat A/c. Necessary demat charges for effecting transfer of securities will be debited to the Client's account.

In case of default in pay-in of securities which are in T-by-T group, such securities will be squared-up as per the procedure followed by the respective Exchanges and necessary amount will be debited to the Client's account. (for NSE/BSE - closing price on T+2 day + 10% or contract rate whichever is higher)

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

In case of client-to-client short(internal short)of securities in a settlement, such securities will be squared-up by MSE FSL, as per the procedure laid down by the respective Exchanges (for NSE/BSE - closing price on T+2 day + 10% or contract rate whichever is higher)

9. Trading in Penny Stocks:

The PENNY STOCKS will be identified monthly as per the list provided by NSE/BSE through their notices. The trading in the penny stocks will be closely monitored by the Surveillance executives of the Company. The limits may be fixed either quantity based or value based depending upon the market condition and RMS policy of the Company. The Company reserves right to refuse to provide the limit in penny stocks and losses if any on account of such refusal shall be borne by the client only.

10. Online Client code Modification only allowed subject to the following :

- Client code modification facilities shall be disabled from all the dealer of AP/sub-broker terminals.
- Modification allowed only on request from the concerned AP/sub-broker on a case-to-case basis.
- Client code modification allowed only during the trading hours ie 9.15 am to 4.00 pm.
- No request will be entertained from the AP/sub-broker after the above cut-off timings.
- The request should be in the prescribed format and it should sent to MSE Financial Services email id : msefsl@gmail.com on the day of modification.
- Client code modification is allowed only one the following categories.
 - Genuine punching error / inadvertent typing error in client codes.
 - Order entered for wrong client code due to communication error.
 - Code modification within the family members.
 - Institutional trades modified to Broker Account.
- Client code modification shall be carried out only from the respective terminals located at AP/Sub-brokers office under intimation to MSE Financial Services thru letter/email confirmation to MSE Financial Services Ltd.
- While carrying out code modification, genuiness of the purchasing errors shall be verified against corroborative circumstantial evidences like similarities of codes, trades in immediately preceding codes, square off trades without holdings or position or any such other evidences shall have to be taken into account
- On receipt of the above confirmation from the AP/sub-broker, MSE Financial Services Ltd administrative staff will report client code changes electronically thru B E F S / N C M S module provided by BSE / NSE.
- Complete records of daily online trade modifications shall be maintained in soft form.
- Penalties as imposed by NSE/BSE will be debited to the concerned AP/sub broker/ client ledger on monthly basis.

To

MSE FINANCIAL SERVICES LTD.

11, Second line Beach, Chennai - 600 001.

Dear Sir,

I / We hereby acknowledge the receipt of duly executed copy of KYC inclusive of Rights & Obligations of BO and DP, Rights & Obligations, RDD, Guidance Note, Policies & Procedure, Tariff sheet and all other documents as executed by me / us.

Yours faithfully,

Signature :  _____

Date : _____

Name of the Client : _____

Client Code : _____

MSE FINANCIAL SERVICES LTD.

Member : NSE & BSE, DEPOSITORY PARTICIPANT : CDSL

SEBI Registration No. INZ000171535

NSE - Cash TM ID : 11169

NSE - F&O CM ID : M51309

BSE - Cash Clearing No. : 246

SEBI Registration No. IN-DP-CDSL-690-2013 (CDSL)

CIN No. : U67110TN2000PLC056075

PAN No. : AACCM3039N

GSTIN : 33AACCM3039N1ZF

Regd. Office : 11, Second Line Beach, Chennai - 600 001. Phone : 044 - 2526 5553, 2521 4442

Correspondence Office : 25, Abhiramapuram 3rd Street, Chennai - 600 018.

Phone : 044 - 6645 9807 / 9808 / 9815 / 9816 / 9822

E-mail : helpdesk@msefsl.com

trading@msefsl.com

demat@msefsl.com

Website : www.msefsl.com

Investor Complaints E-mail : igrmsefsl@gmail.com

Compliance Officer : M. V. Swaminath Phone : 044 - 6645 9818 E-Mail : compliance@msefsl.com

For any grievance / dispute please contact MSE FINANCIAL SERVICES LTD. at the above address or email Id or Phone No.

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

NATIONAL STOCK EXCHANGE OF INDIA LTD.(NSE), Phone : 022 - 2659 8100, Fax : 022 - 2659 8120

E-Mail : ignse@nse.co.in, Chennai Phone : 044 - 6630 9900

BSE LTD.(BSE), Phone : 022 - 2272 1234, Telefax : 022 - 2272 1003

E-Mail : is@bseindia.com, Chennai Phone : 044 - 4206 8475

CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL),

Phone : 022 - 2272 3333, E-Mail : complaints@cdslindia.com

CLIENT'S MANDATE FORM FOR DIRECT PAYMENT OF DEPOSITORY PARTICIPANT BILLS THROUGH ELECTRONIC CLEARING SCHEME

To, **MSE FINANCIAL SERVICES LTD. (MSEFSL)**

Date : _____

Branch : _____

DP ID	1	3	0	1	7	4	0	0	CLIENT ID	0	0						
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Client Name (Name of the First Holder) : _____

Particulars of Bank Accounts (It should be the same bank as given in the demat account):

Bank Name	
Bank Branch	
Type of A/c (Saving/Current/Cash Credit)	
Bank Account Number	
IFSC Code	
9 Digit MICR Code	

I/We hereby express my/our willingness to settle the payment of depository participant bills raised on the demat account number referred to above through my/our bank account as mentioned above for Direct Payment of my/our Depository Participant Bills. I/We hereby authorise MSE Financial Services Ltd to raise the debits on my/our above account. The instruction will remain in force till further notice from me/us, which will be delivered to you in writing against your acknowledgment. I/We understand that the Bank's responsibility ends with making payment of the bill and it will no way be responsible for any dispute between MSE Financial Services Ltd and me/us. I/We hereby authorise my/our Bank to honour the debits raised for payment of depository participant bills.

25
27

Signature of First Account Holder
(As per MSEFSL records)

Signature of Second Account Holder
(As per MSEFSL records)

Signature of Third Account Holder
(As per MSEFSL records)

26
27

Signature of Account Holder
(As in Bank Records)*

Signature/s of Joint Account Holder/s
(As in Bank Records)*

*Where the bank account mentioned above is operated jointly, the signatures of the joint holders are also required

For use of Bank only

Standing Instructions accepted by us and the Bank A/C No. & Signature of a/c holder has been verified.

Branch: _____

Date: _____

Authorised Signatory of Bank with Bank Stamp

Note:

- 1) Direct payment of Depository Participant (i.e. MSE Financial Services Limited) bills is offered only to client's Bank branch participating in Electronic Clearing Scheme (Debit Clearing) of the Reserve Bank of India.
- 2) The client shall submit the ECS debit mandate (providing the latest and correct account number) form duly counter signed by his/her bank
- 3) The client shall attach a copy of blank cheque leaf / cancelled cheque leaf.
- 4) In case of ECS debit rejection, MSE Financial Services Limited reserves its right to discontinue the ECS debit facility offered to such clients.

Client Acknowledgement Slip

- 1. Name of the Client : Mr./Mrs./M/s. _____
- 2. Account Opening Charges : Rs. _____
(for franking of stamp duty on Agreements)
- 3. NSE - CM: NSE - F&O : BSE - CM : BSE - F&O:
- 4. Sub-Brokers/ AP Code : _____



Client Signature

(Signature & Seal of the Stock broker/DP)

MSE FINANCIAL SERVICES LTD.

Member : NSE & BSE, DEPOSITORY PARTICIPANT : CDSL

SEBI Registration No. INZ000171535

NSE - Cash TM ID : 11169

NSE - F&O CM ID : M51309

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Phone : 044 - 6645 9807 / 9808 / 9815 / 9816 / 9822

E-mail : helpdesk@msefsl.com

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demat@msefsl.com

Website : www.msefsl.com

Investor Complaints E-mail : igrmsefsl@gmail.com

Compliance Officer : M. V. Swaminath Phone : 044 - 6645 9818 E-Mail : compliance@msefsl.com

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E-Mail : is@bseindia.com, Chennai Phone : 044 - 4206 8475

CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL),

Phone : 022 - 2272 3333, E-Mail : complaints@cdslindia.com

Branch Address :

Details of POI (Proof of Identity) & POA (Proof of Address) submitted :

Applicant	Document Collected for POI	Document Collected for POA
First / Sole Holder		
Second Holder		
Third Holder		

FOR BRANCH USE ONLY

Applicant Scrutinised by Employee Name	
Signature	

KRA NAME	STATUS	VERIFIED DATE	REMARKS

FOR HEAD OFFICE USE ONLY

	Application Scrutinised by	Application Entered by	System Data Verified by
Employee Name			
Signature			

*** Note : Mobile No. & E-Mail ID - Mandatory**

