

**dhani** Stocks

**Dhani Stocks Limited**

**TRADING AND DEMAT REGISTRATION KIT**  
*For Individuals*

**Version: 11.0**  
**Print Date: 30<sup>th</sup> September, 2024**

**SET OF ACCOUNT OPENING DOCUMENT**

**DOCKET INDEX**

The prospective clients are informed regarding mandatory & non-mandatory documents as under:

<b>S.No</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Page No.</b>
<b>Mandatory Documents as prescribed by SEBI &amp; Exchanges</b>			
<b>1.</b>	Account Opening Form	a) KYC Form: Document captures the basic information about the constituent along with an instruction / check list for filling the KYC form.	4 – 14
		b) Document captures the additional information about the constituent relevant to trading account	15 – 21
<b>2.</b>	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	28
<b>3.</b>	Policies and Procedures	Document describing significant policies and procedures of the stock broker	31 – 35
<b>4.</b>	Depository Account Opening Form <b>(*Mandatory if Demat account is to be opened)</b>	a) Document captures the additional information about the constituent relevant to Demat account	22 – 27
		b) Schedule of charges for Depository Services	29 – 30
<b>Mandatory Documents as prescribed by SEBI &amp; Exchanges – to be provided to Applicant</b>			
<b>5.</b>	Rights and Obligations of Stock brokers, Sub brokers and Clients - Equity Segment	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).	73 – 77
<b>6.</b>	Risk Disclosure Document (RDD) -Equity Segment	Document detailing risks associated with dealing in the securities market.	78 – 81
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<b>8.</b>	Guidance note - Do's and Don'ts for trading on exchange - Equity Segment	Document detailing do's and don'ts for trading on exchange, for the education of the investors	87 – 88
<b>9.</b>	Rights and Obligations of Beneficial Owner & Depository Participant as prescribed by SEBI and Depositories	Document stating the Rights & Obligations Beneficial Owner & Depository Participant as prescribed by SEBI and Depositories	89 – 91
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<b>13.</b>	Rights And Obligations Of Members, Authorized Persons And Clients As Prescribed By SEBI and Commodity Exchanges	Rights And Obligations Of Members, Authorized Persons And Clients As Prescribed By SEBI and Commodity Exchanges	98 – 107
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<b>S.No</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Page No.</b>
<b>15.</b>	Guidance note -Do's and Don'ts for trading on exchange - Commodities Segment	Guidance note -Do's and Don'ts for trading on exchange	112 – 113
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
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# following documents should not form part of either mandatory or voluntary documents.

1. Authorisation letter for any inter family / group company / related accounts adjustment.
2. Authorisation for adjustment of funds among securities exchange and commodities exchanges.

## Details of Broker/ Trading Member

**Name of the Stock Broker/Trading Member/Clearing Member:** Dhani Stocks Limited

**Registered Office Address:** 1/1E, First Floor, East Patel Nagar, New Delhi - 110008.

**Correspondence Office Address:** Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana.  
Phone: 022-61446300; Fax: 0124 6681111; Website: [www.dhanistocks.com](http://www.dhanistocks.com); Email: [helpdesk@dhani.com](mailto:helpdesk@dhani.com) ;  
Grievances ID: [grievances\\_dsl@dhani.com](mailto:grievances_dsl@dhani.com)

**Compliance Officer Trading:** Ms. Sangeeta Dahiya; Phone: 022-61446310; Email: [complianceofficer@dhani.com](mailto:complianceofficer@dhani.com)

**Compliance Officer DP:** Mr. Akshay Kumar Tiwary; Phone: 022-61446320; Email: [complianceofficer\\_dp@dhani.com](mailto:complianceofficer_dp@dhani.com)

**Whole time Director Details:** Mr. Ashu Khanna; Phone: 0124 6685811; Email: [akhanna@dhani.com](mailto:akhanna@dhani.com)

### SEBI Registration Details

<b>SEBI Registration Number (Stock Broker)</b>	INZ000036136
<b>NSE Membership Number</b>	08756
<b>BSE Membership Number</b>	907
<b>National Commodity &amp; Derivatives Exchange Limited</b>	00010
<b>Multi Commodity Exchange of India Limited</b>	12835

<b>SEBI Registration Number (Depository Services)</b>	IN-DP-423-2019
<b>CDSL</b>	12029900
<b>NSDL</b>	IN302236

For any grievance / dispute, please contact Dhani Stocks Limited at the above mentioned correspondence address or email at [helpdesk@dhani.com](mailto:helpdesk@dhani.com) ; [grievances\\_dsl@dhani.com](mailto:grievances_dsl@dhani.com) . In case not satisfied with the response; please contact the concerned exchange(s)/Depository(ies) at the below mentioned details–

Exchange Name	Email ID	Phone No.
NSE	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	1800220058
BSE	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	022-22728097, 022-22721234, 022-22721233
NCDEX	<a href="mailto:askus@ncdex.com">askus@ncdex.com</a>	022-66406084
MCX	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>	022-67318888
NSDL	<a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a>	022-24994200
CDSL	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>	022-22723333

=====TEAR HERE=====

### Dhani Stocks Limited Acknowledgement

Received the application from Mr/Ms. \_\_\_\_\_ for opening of a Trading and/or a Demat account. Please quote the Trading and DP ID & Client ID allotted to you in all your future correspondences.

Date: \_\_\_\_\_

Participant Stamp & Signature

## INSTRUCTIONS/CHECKLIST FOR FILLING KYC FORM

### Important Instructions –

1. Fields marked with \* are mandatory details
2. Tick 'v' wherever applicable
3. Please fill the form in English and in BLOCK Letters.
4. Please fill the date in DD-MM-YYYY format.
5. For particular section update, please tick ('v') in the box section number and strike off the sections not required to be updated.
6. Please read the section wise detailed guidelines / instructions at the end.
7. List of States / U.T. Code as per Indian Motor Vehicle Act, 1988 is available at the end.
8. List of two character ISO 3166 country codes is available at the end.
9. The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

### Checklist:

1. The name should match with the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected
2. One of the following is mandatory – Mother's name, Spouse's name, Father's name
3. In case of deemed POA, such as utility bill, etc. or self-declaration, the document need not be uploaded on CKYCR
4. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
5. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses
6. List of document for 'Deemed Proof of Address'

Document Code	Description
01	Utility bill which is not more than 2 months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or municipal tax receipt
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, Public Sector Undertakings, Scheduled Commercial Banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.

7. Regulated entity (RE) shall redact (first 8 digits) of Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading CKYCR
8. "Equivalent E-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per Rule 9 of Information Technology (Preservation And Retention Of Information By Intermediaries Providing Digital Locker Facilities Rules) 2016.
9. "Digital KYC has to be carried out as stipulated in the PML Rules, 2005.
10. Registered Entity may use the Self-declaration check box where Aadhaar Authentication has been carried out successfully for a client and client wants to provide current address, different from the address as per the identity information available in Central Identities Data Repository
11. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
12. Do not add '0' in the beginning of Mobile number

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

Copy of ITR; 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.

1. 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.
2. Demat master or recent holding statement issued by DP bearing name of the client.

3. For individuals:

- a) Stock broker has an option of doing 'in-person' verification through webcam at the branch office of the stock broker/sub-broker's office.
- b) In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

#### G. Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988**

State / U.T	State Code	State / U.T	State Code	State / U.T	State Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

**List of ISO 3166 two- digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI

Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU

Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire   Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion   Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao   Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy   Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

### FATCA & CRS Terms and Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules 1962 which rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certification and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in information provided by you, please ensure you advise us promptly i.e. within 30 days. It is important that you respond to our request, even if you believe you have already supplied and previously requested information.

Please note that you may receive more than one request for information if you have multiple relationships with Dhani Stocks Limited or its group entities. Therefore it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or Green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

^It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND</li> <li>Any one of the following documents: <ul style="list-style-type: none"> <li>Certified Copy of "Certificate of Loss of Nationality</li> <li><u>or</u> Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship;</li> <li><u>or</u> Reason the customer did not obtain U.S. citizenship at birth</li> </ul> </li> </ol>



Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b><i>If no Indian telephone number is provided</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b><i>If Indian telephone number is provided along with a foreign country telephone number</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

**\* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

**Dhani Stocks Limited**

**Registered Office Address:** 1/1 E, First Floor, East Patel Nagar, New Delhi - 110008

**Correspondence Office Address:** Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana. Website: [www.dhanistocks.com](http://www.dhanistocks.com)

Corporate Identity Number (CIN): U74999DL2003PLC122874; Email: [helpdesk@dhani.com](mailto:helpdesk@dhani.com); [grievances\\_dsl@dhani.com](mailto:grievances_dsl@dhani.com); Phone: 022-61446300 Fax: 0124 6681111

(1)

Please affix your recent passport size photograph and sign across it

Please fill the form in English and 'BLOCK LETTERS' only

**1. PERSONAL DETAILS\*** (Please refer instruction and checklist available at the end)

	Prefix	First Name	Middle Name	Last Name					
Name of the Applicant (as per PAN Website)									
Name of the applicant (same as ID Proof)									
Father / Spouse Name									
Mother Name									
Date of Birth (DD/MM/YYYY)	D	D	M	M	Y	Y	Y	Y	Gender: <input type="checkbox"/> M - Male <input type="checkbox"/> F – Female <input type="checkbox"/> T - Transgender
Marital Status: <input type="checkbox"/> Unmarried <input type="checkbox"/> Married <input type="checkbox"/> Others	Citizenship <input type="checkbox"/> IN-Indian <input type="checkbox"/> Others (please specify) _____	Residential Status: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National (Passport copy mandatory for NRIs and Foreign Nationals) <input type="checkbox"/> Person of Indian Origin							
PAN *									Please enclose a duly attested copy of your PAN card

**2. Proof of Identity and Address.\*** Please tick (✓) – Please refer instruction and checklist available at the end.

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

<input type="checkbox"/> A -Passport Number		Passport Expiry Date	
<input type="checkbox"/> B -Voter ID Card			
<input type="checkbox"/> C - Driving Licence		Driving Licence Expiry Date	
<input type="checkbox"/> D - NREGA Job Card			
<input type="checkbox"/> E - National population register letter			
<input type="checkbox"/> F - Proof of Possession of Aadhaar ^	X		
<input type="checkbox"/> EKYC Authentication ^	X		
<input type="checkbox"/> Offline verification of Aadhaar ^	X		

^ Please enter only the last 4 digits of your UID/ Aadhaar

**Address**

Address Type	<input type="checkbox"/> Residential/ Business <input type="checkbox"/> Residential <input type="checkbox"/> Business		
Permanent Address			
City/Town/Village		District	
State		Country	
PIN/ Post Code		State / U.T. Code	ISO 3166 Country Code

**3. CURRENT ADDRESS DETAILS**

<input type="checkbox"/> Please tick (✓) Current Address is same as above address
---

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted. (Any one of the following OVDs))			
<input type="checkbox"/> A -Passport Number		Passport Expiry Date	
<input type="checkbox"/> B -Voter ID Card			
<input type="checkbox"/> C - Driving Licence		Driving Licence Expiry Date	
<input type="checkbox"/> D - NREGA Job Card			
<input type="checkbox"/> E - National population register letter			
<input type="checkbox"/> F – UID (Aadhaar) ^	X		
II <input type="checkbox"/> EKYC Authentication ^	X		
III <input type="checkbox"/> Offline verification of Aadhaar ^	X		
^ Please enter only the last 4 digits of your UID/ Aadhaar			
IV <input type="checkbox"/> Deemed Proof of Address – Document Type Code			
V <input type="checkbox"/> Self-Declaration			

Current Address			
City/Town/Village		District	
State		Country	
PIN/ Post Code		State / U.T. Code	ISO 3166 Country Code

**4. Contact Details (all communications will be sent on provided Mobile No. / Email ID) (Please refer instruction and checklist available at the end) \***

Telephone (Off.)	
Telephone (Res.)	
Email ID	
Mobile Number	

Gross annual income details (income range per annum) *	<input type="checkbox"/> < 1 Lac <input type="checkbox"/> 1 - 5 Lac <input type="checkbox"/> 5 - 10 Lac <input type="checkbox"/> 10 - 25 Lac									
	<input type="checkbox"/> (>) Above 25 Lac									
(OR) Net worth		As on date	D	D	M	M	Y	Y	Y	Y
<b>Net worth should not be older than 1 year</b>										

<b>Occupation Type</b>	
<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"/> Student) <input type="checkbox"/> B – Business <input type="checkbox"/> X – Not Categorised <input type="checkbox"/> Agriculturalist <input type="checkbox"/> Other _____	
Please tick if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not Applicable
Any other Information	


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

**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 Central KYC Registry through SMS/Email on the above registered number/email address.

<b>Signature</b>	 (2)									
<b>Date</b>	D	D	M	M	Y	Y	Y	Y	<b>Place</b>	

**FOR OFFICE USE ONLY**

**KYC Verification Carried Out by: Institution - Dhani Stocks Limited; Institution Code – IN0157**

Documents received	<input type="checkbox"/> Certified Copies <input type="checkbox"/> E-KYC data received from UIDAI <input type="checkbox"/> Data received from Offline Verification <input type="checkbox"/> Digital KYC Process <input type="checkbox"/> Equivalent E-document <input type="checkbox"/> Video based KYC								
Application Type: <input type="checkbox"/> New <input type="checkbox"/> Update									
KYC Number (Mandatory for KYC Update Request):									
Account Type: <input type="checkbox"/> Normal <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)									
Name									
Code									
Designation									
Date	D	D	M	M	Y	Y	Y	Y	
Place									
Signature									

SEAL/STAMP of Dhani Stocks Limited

**Details of FATCA-CRS** (Please consult your professional tax professional on your tax residency, if required)

# to also include USA, where the individual is a Citizen/Green Card Holder of the USA




^ In case Tax Identification Number is not available, kindly provide its functional Equivalent

SOLE / FIRST HOLDER													
Name													
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	PAN					Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____					
Father's Name													
Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes.													
Type of address given at KRA		<input type="checkbox"/> Residential <input type="checkbox"/> Residential or Business <input type="checkbox"/> Business <input type="checkbox"/> Registered Office											
Permissible documents		<input type="checkbox"/> Passport <input type="checkbox"/> Election ID card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others _____											
Nationality				Date of Birth		D	D	M	M	Y	Y	Y	Y
Place of Birth				Country of Birth									
Are you a tax resident of any country other than India?						<input type="checkbox"/> Yes <input type="checkbox"/> No							
If yes, please indicate all countries in which you are a resident for tax purposes and the associated Tax purposes and the associated Tax ID Numbers below													
S. No	Country of Tax Residency#	Tax Identification Number (TIN) / Functional Equivalent^				Identification Type [TIN or other; please specify]							
1.													
2.													
3.													

SECOND HOLDER													
Name													
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	PAN					Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____					
Father's Name													
Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes.													
Type of address given at KRA		<input type="checkbox"/> Residential <input type="checkbox"/> Residential or Business <input type="checkbox"/> Business <input type="checkbox"/> Registered Office											
Permissible documents		<input type="checkbox"/> Passport <input type="checkbox"/> Election ID card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others _____											
Nationality				Date of Birth		D	D	M	M	Y	Y	Y	Y
Place of Birth				Country of Birth									
Are you a tax resident of any country other than India?						<input type="checkbox"/> Yes <input type="checkbox"/> No							
If yes, please indicate all countries in which you are a resident for tax purposes and the associated Tax purposes and the associated Tax ID Numbers below													
S. No	Country of Tax Residency#	Tax Identification Number (TIN) / Functional Equivalent^				Identification Type [TIN or other; please specify]							
1.													
2.													
3.													

THIRD HOLDER													
Name													
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	PAN					Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____					
Father's Name													
Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA & notify the changes.													
Type of address given at KRA		<input type="checkbox"/> Residential <input type="checkbox"/> Residential or Business <input type="checkbox"/> Business <input type="checkbox"/> Registered Office											
Permissible documents		<input type="checkbox"/> Passport <input type="checkbox"/> Election ID card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others _____											
Nationality				Date of Birth			D	D	M	M	Y	Y	Y
Place of Birth				Country of Birth									
Are you a tax resident of any country other than India?						<input type="checkbox"/> Yes <input type="checkbox"/> No							
If yes, please indicate all countries in which you are a resident for tax purposes and the associated Tax purposes and the associated Tax ID Numbers below													
S. No	Country of Tax Residency#	Tax Identification Number (TIN) / Functional Equivalent^					Identification Type [TIN or other; please specify]						
1.													
2.													
3.													

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

	Sole / First Holder (Mr./Ms.)					Second Holder (Mr./Ms.)					Third Holder (Mr./Ms.)		
Signature	 (3)					 (3)					 (3)		
Date	D	D	M	M	Y	Y	Y	Y	Y	Y	Y	Y	Place

## OTHER DETAILS & SUPPLEMENTARY KYC INFORMATION FOR TRADING ACCOUNT

### Overseas Address Details

<b>Address Type*</b> <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified									
<b>Overseas Address*</b>									
City/Town/Village				State					
Country				PIN/Post Code					
State / U.T. Code*				ISO 3166 Country Code*					
Proof of Address to be provided by the Applicant. Please submit <b>ANY ONE</b> of the following documents. <b>Please tick (√)</b> against the document attached.									
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Driving License <input type="checkbox"/> Latest Electricity Bill # <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Gas Bill # <input type="checkbox"/> Latest Bank a/c statement/passbook # <input type="checkbox"/> Latest Telephone Bill (only landline)# <input type="checkbox"/> Registered Lease / Sale Agreement of Residence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others _____ # not more than 2 months old								<b>Validity/Expiry date of proof of address submitted</b> D D M M Y Y Y Y	

### Address in Jurisdiction details where applicant is resident outside India for tax purposes

<input type="checkbox"/> Same as Current/Permanent/Overseas Address details <input type="checkbox"/> Same as Correspondence /Local Address Details									
<b>Address Type*</b> <input type="checkbox"/> Residential/Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified									
<b>Overseas Address*</b>									
City/Town/Village				State					
Country				PIN/Post Code					
State / U.T. Code*				ISO 3166 Country Code*					
Proof of Address to be provided by the Applicant. Please submit <b>ANY ONE</b> of the following documents. <b>Please tick (√)</b> against the document attached.									
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Driving License <input type="checkbox"/> Latest Electricity Bill # <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Gas Bill # <input type="checkbox"/> Latest Bank a/c statement/passbook # <input type="checkbox"/> Latest Telephone Bill (only landline)# <input type="checkbox"/> Registered Lease / Sale Agreement of Residence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others _____ # not more than 2 months old								<b>Validity/Expiry date of proof of address submitted</b> D D M M Y Y Y Y	

### Bank Account Details

<b>Bank Name (1)</b>									
<b>Branch Address</b>									
<b>City:</b>					<b>State:</b>				
<b>Country:</b>					<b>PIN:</b>				
<b>Bank Account No.</b>									
<b>Account Type</b> <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Other (Inc case of NRI/NRE/NRO) _____									
<b>MICR Number</b>									
<b>IFSC Code</b>									

<b>Bank Name (2)</b>											
<b>Branch Address</b>											
	<b>City:</b>						<b>State:</b>				
	<b>Country:</b>						<b>PIN:</b>				
<b>Bank Account No.</b>											
<b>Account Type</b>	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Other (Incase of NRI/NRE/NRO) _____										
<b>MICR Number</b>											
<b>IFSC Code</b>											

\* Bank details provided in Bank Name (1) would be considered for Dividend.

• **ADDITIONAL DETAILS**

I wish to receive following standard documents in  Physical Form  Electronic Form

- Rights and Obligations of Stock brokers, Sub brokers and Clients -Equity Segment
- Rights And Obligations Of Members, Authorized Persons And Clients as Prescribed By SEBI and Commodity Exchanges (for NCDEX/MCX)
- Rights & Obligations of beneficial owner and depository participant as prescribed by SEBI and Depositories
- Risk Disclosure Document (RDD) -Equity Segment
- Uniform Risk Disclosure Document (RDD) – Commodities Segment
- Guidance Note detailing Do’s and Don’ts for trading on stock exchanges -Equity Segment
- Guidance note -Do’s and Don’ts for trading on exchange - Commodities Segment (for NCDEX/MCX)
- Guidance Note - Do’s and Don’ts for investor/Demat a/c holder

• **Data Protection Declaration:**

I understand that –

- My personal data will be processed by Dhani Stocks Limited (DSL) as per their privacy policy.
- I may receive communications regarding services/products implied from this form.
- My data may be transferred to countries that are outside EU, specifically India, for processing

I agree to receive alerts, emails and newsletters related to marketing, greetings, promotions, and latest updates

Yes       No

**Remarks (if any):** \_\_\_\_\_

**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 Central KYC Registry through SMS/Email on the above registered number / email address.

	<b>Sole / First Holder / Guardian (in case sole holder is minor)</b>					<b>Second Holder (Mr./Ms.)</b>				<b>Third Holder (Mr./Ms.)</b>	
<b>Signature</b>	☞ (4)					☞ (4)				☞ (4)	
<b>Date</b>	D	D	M	M	Y	Y	Y	Y	Place		



## TRADING ACCOUNT RELATED DETAILS

### A. DEPOSITORY ACCOUNT(S) DETAILS

<b>Depository Participant Name (1)</b>			
Depository Name (CDSL/NSDL)	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<b>DP ID</b>	
Beneficiary Name			
Beneficiary ID (BO ID)			

<b>Depository Participant Name (2)</b>			
Depository Name (CDSL/NSDL)	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<b>DP ID</b>	
Beneficiary Name			
Beneficiary ID (BO ID)			

**Note:** please provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of client

### B. TRADING PREFERENCES

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

Exchanges	NSE & BSE				MCX & NCDEX
All segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
☞ (5)					
If you do not wish to trade in any segments / Mutual Fund, please mention here _____					

### C. PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/ Stock exchange / Commodity 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	<input type="checkbox"/> No <input type="checkbox"/> Yes  If yes, please specify details.
---	---


### D. DEALINGS THROUGH SUB-BROKER & OTHER STOCK BROKERS /Authorised Person (A.P.)

Dealings through sub-broker & other stock brokers /Authorised Person					<input type="checkbox"/> Yes <input type="checkbox"/> No
If client is dealing through the sub-broker /Authorised Person, provide the following details					
Sub-Broker /Authorised Person Name		SEBI Registration No.			
Registered Office Address					
Phone No.		FAX		Website	
Whether dealing with any other stock broker / Sub-Broker/Authorised Person (if case dealing with multiple stock brokers/sub-brokers /Authorised Person, provide details of all)					
Name of Stock Broker					
Name of Sub Broker/Authorised Person, if any					
Client Code			Exchange		
Details of disputes/dues pending from/to such stock broker/sub-broker/Authorised Person					

**E. ADDITIONAL DETAILS**

- I/We wish to receive  Physical Contract Note (or)  Electronic Contract Note (ECN)
- I/We wish to receive communication from Member in electronic form on my/our email id:  Yes  No
- E-mail ID for ECN: \_\_\_\_\_
- I/We wish to avail the facility of Internet Trading/Wireless Trading:  Yes  No
- I/We wish to avail Documents via  Electronic Mode Facility (DEM) (or)  Physical Mode
- Number of years of Investment/Trading Experience in Equity:  
     \_\_\_\_\_ No prior experience      \_\_\_\_\_ Years in Stock      \_\_\_\_\_ Years in Derivatives  
     \_\_\_\_\_ Years in Commodities      \_\_\_\_\_ Years in other investment related field
- Any other information: \_\_\_\_\_

**F. INTRODUCER'S DETAILS (optional)**

Name			
Status	<input type="checkbox"/> Sub broker <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Remisier <input type="checkbox"/> Others (specify) _____		
Address			
		Phone No.	
Introducer's Signature 			

**G. SALES TAX REGISTRATION DETAILS (As applicable, State Wise)**

Local Sales Tax Registration Number	
Validity Date	
Name of State	
Central Sales Tax Registration Number	
Validity Date	
Other Sales Tax Registration Number	
Validity Date	
Name of State	

**H. VAT DETAILS (As applicable, State Wise)**

Local VAT Registration Number	
Validity Date	
Name of State	
Other VAT Registration Number	
Name of State	
Validity Date	

**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 tariff sheet and all voluntary / non-mandatory documents.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Client's signature:  (6) \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**FOR OFFICE USE ONLY**

<b>UCC Code allotted to the Client</b>	<b>Documents verified with Originals</b>	<b>Client Interviewed By</b>	<b>In-Person Verification done by</b>
Name of the Employee			
Employee Code			
Designation of Employee			
Date			
Signature 			

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

**Signature of the Authorised Signatory:**  \_\_\_\_\_

**SEAL/STAMP of Dhani Stocks Limited**

**Date:** \_\_\_\_\_

**We do not deal in Cash  
We accept only Cheque**

**Place:** \_\_\_\_\_

# APPLICATION FOR DEMAT ACCOUNT (ADDITIONAL INFORMATION FOR DEMAT ACCOUNT)

Please fill the form preferably in 'Black' and in 'BLOCK LETTERS' only

CDSL DP ID 12029900      OR       NSDL DP ID IN302236

Client ID: \_\_\_\_\_ (To be filled by DSL)

**Depository Service:** I/We wish to open Depository Account with \_\_\_\_\_ (CDSL DP ID 12029900/ NSDL DP ID IN302236) in my/our name as per the following details.

## TYPE OF ACCOUNT (Please tick (√) whichever is applicable)

STATUS	SUB-STATUS
<input type="checkbox"/> <b>INDIVIDUAL</b>	<input type="checkbox"/> Individual (Ordinary) Resident <input type="checkbox"/> Individual Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/c (MANTRA) <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> <b>NRI</b>	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> NRI Depository Receipts <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> <b>FOREIGN NATIONAL</b>	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National Depository Receipts <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> <b>Qualified Foreign Investor</b> <input type="checkbox"/> <b>Promoter</b> <input type="checkbox"/> <b>Margin</b> <input type="checkbox"/> <b>Others</b> _____	

## DETAILS OF ACCOUNT HOLDERS

	SOLE/FIRST HOLDER's DETAILS	SECOND HOLDER's DETAILS	THIRD HOLDER's DETAILS
<b>NAME</b>			
<b>PAN</b>			
<b>Occupation</b>	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> B – Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturalist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> B – Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturalist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> B – Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturalist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____
<b>UID ^</b>	<b>X</b>   _____	<b>X</b>   _____	<b>X</b>   _____
<b>UCC Code</b>		<b>Exchange Name and ID</b>	NSE (12) and BSE (11)

^ Please enter only the last 4 digits of your UID / Aadhaar

<b>Brief Details</b>			
----------------------	--	--	--

## DETAILS OF GUARDIAN (incase the account holder is a Minor)

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

<b>GUARDIAN's NAME</b>	
------------------------	--

<b>PAN</b>															
<b>Relationship With Minor</b>															
<b>In case of NRI's / Foreign Nationals -</b>															
<b>RBI approval reference number</b>				<b>RBI approval date</b>				D	D	M	M	Y	Y	Y	Y
For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust etc. should be mentioned below.															
<b>NAME</b>		<b>PAN</b>													

<b>Mode of operations for Joint Account</b>		<input type="checkbox"/> Singly		<input type="checkbox"/> Jointly	
<b>For Joint account, communications to be sent to (See Note 5):</b>		<input type="checkbox"/> First Holder		<input type="checkbox"/> All Joint Holders	
If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.					

### DP FACILITIES (STANDING INSTRUCTIONS FORM DEMAT ACCOUNT)

<b>Account Statement Requirement</b>		<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly					
<b>Mode of receiving statement of account</b>		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <sup>§</sup> <sup>§</sup> Read note 3 and ensure that email id is provided in the KYC application form					
<b>I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)</b>		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic					
						<b>Yes</b>	<b>No</b>
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]							
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')							
I/We would like to share the email ID with the RTA							
Do you wish to receive dividend / interest directly in to your bank account 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 ]							
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____							
Want to avail BSDA facility							
Account to be operated through Power of Attorney (POA)							
<b>Standing Instruction for Auto Pledge</b> With reference to my / our application for opening a depository account, I/We request you to enable my / our depository account having DP ID _____ & Client ID _____ with Flag "Standing Instruction for Auto Pledge Confirmation". I/We have read and understood the Securities and Exchange Board of India's guidelines on pledging of shares in demate rialized form as regulated by SEBI (Depositories and Participants) Regulations, 1996 and Depositories Act, 1996.							
<b>SMS Alert Facility</b>							
<b>Mobile Number</b>		+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).					
<b>Sole / First Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<b>Second Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No	
				<b>Third Holder</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No	

**Easi:** to register for Easi, please visit website [www.cdslindia.com](http://www.cdslindia.com). Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

**Declaration:** The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Right and Obligations of the Beneficial Owner and Depository Participant".

	Sole / First Holder / Guardian (in case sole holder is minor)				Second Holder (Mr./Ms.)				Third Holder (Mr./Ms.)			
<b>Name</b>												
<b>Signature</b>	☞ (7)				☞ (7)				☞ (7)			
<b>Date</b>	D	D	M	M	Y	Y	Y	Y	<b>Place</b>			

**Notes:**

- 1 All communication shall be sent at the address of the Sole/First holder only.
- 2 Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- 3 For receiving Statement of Account in electronic form:
  - a. Client must ensure the confidentiality of the password of the email account.
  - b. Client must promptly inform the Participant if the email address has changed.
  - c. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- 4 In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- 5 In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
- 6 Strike off whichever is not applicable.

**FORM FOR NOMINATION/ CANCELLATION OF NOMINATION**

(To be filled in by individual applying singly or jointly)

Date: \_\_ / \_\_ / \_\_\_\_

<b>UCCID / Trading ID</b>															
<b>DP ID</b>										<b>Client ID</b>					

I/We wish to make a nomination. [As per details given below]




I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account. **[Strike off the nomination details below]**

**Nomination Details**

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.



S.No	Nomination can be made upto three nominees in the account.	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) (Mr./Ms.)			
2.	<b>Share of each Nominee</b> <input type="checkbox"/> Equally [If not equally, please specify percentage]			
		%	%	%
		<b>Any odd lot after division shall be transferred to the first nominee mentioned in the form</b>		
3.	Relationship With the Applicant ( If Any)			
4.	<b>Address of Nominee(s)</b> {with City/Place, State & Country}			
	<b>PIN Code</b>			
5.	<b>Mobile / Telephone No. of nominee(s) #</b>			
6.	<b>Email ID of nominee(s) #</b>			
7.	<b>Nominee Identification details – [Please tick any one of following and provide details of same] #</b> <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat account id			

S.No	Nomination can be made upto three nominees in the account.	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
<b>Sr. No. 8 – 14 should be filled only if nominee(s) is a minor</b>				
8.	Name of Guardian			
9.	Date of Birth {in case of minor nominee(s)}			
10.	<b>Address of Guardian(s)</b>			
	<b>PIN Code</b>			
11.	<b>Mobile / Telephone no. of Guardian</b>			
12.	<b>Email ID of Guardian</b>			
13.	<b>Relationship of Guardian with nominee</b>			
14.	<b>Guardian Identification details – [Please tick any one of following and provide details of same]</b>			
	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat account id			

<b>Name and Signature of Account holder(s)</b>		
<b>Account Holder(s)</b>	<b>Name</b>	<b>Signature of Account Holder(s)</b>
Sole / First Holder / Guardian (in case sole holder is minor) (Mr./Ms.)		 (8)
Second Holder (Mr./Ms.)		 (8)
Third Holder (Mr./Ms.)		 (8)



**Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature at Signature No. 8**

Signature of Witness for nomination							
Name of the Witness	Address				Signature of witness		
(a)							
(b)							

**# Optional Fields (Information required at Serial nos. 5, 6, 7, 11, 12 & 14 is not mandatory)**

**\*\*This nomination shall supersede any prior nomination(s) made by the account holder(s), if any\*\***

**Notes:**

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

## Dhani Stocks Limited

Registered Office: 1/1 E, First Floor, East Patel Nagar, New Delhi - 110008

Correspondence Address: Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana.

### TARIFF SHEET

SEGMENT	Brokerage	%	Minimum Brokerage (In Rs)
CM Segment *	Delivery Based		
	Intraday		
F&O Segment	Futures		
	Options		Per Lot
Currency Derivatives Segment	Currency Futures		
	Currency Options		Per Lot
Commodities	Futures		
	Delivery Based		
	Commodities Options		Per Lot

\*Minimum Aggregated brokerage in CM segment will be Rs 25 per scrip for Delivery and Rs 15 per scrip for Intraday trades, subject to regulatory caps, as applicable.

The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax, SEBI turnover fees, Investor Protection Fund and Goods & Service Tax (GST) which will be charged extra at the rate prevailing from time to time.

Dhani Stocks Limited reserves the right to change the brokerage rate as well as other tariffs from time to time under intimation to client.

Client's signature:  (9) \_\_\_\_\_

**SCHEDULE OF CHARGES – Depository [NSDL – DP ID: IN-302236 & CDSL DP ID: 12029900]**

Charge Head		Charges *
AMC charges for Basic Service Demat Account (BSDA)	Value of Holdings in the Demat Account (Debt as well as other than debt securities combined) upto Rs. 4,00,000/-	Nil
	Value of Holdings in the Demat Account (Debt as well as other than debt securities combined) is more than Rs 4,00,000/- but up to Rs. 10,00,000/-	Rs. 100/-
	<i>If on any date the Beneficial Owner ceases to meet the eligibility criteria for BSDA, then normal charges will be levied.</i>	
Charge Head		Charges *
AMC Charges - Individual		Rs. 300/-
AMC Charges - Corporate		Rs. 1000/-
Custody Charges		Nil
Transaction Charges (Buy)		Nil
Transaction Charges (Sell)	Within Dhani	Rs. 20/- or 0.02% of the transaction value (whichever is higher)
	Outside Dhani	Rs. 30/- or 0.03% of the transaction value (whichever is higher)
Failed Instruction		Nil
Pledge : Creation / Confirmation / Closure / Invocation		Rs. 35/- or 0.02% of the transaction value (whichever is higher)
DEMAT /Conversion		Rs. 5/- per certificate/unit + Rs. 50/- courier charges
DEMAT/Conversion Rejections		Rs. 25/- per rejection + Rs. 50/- courier charges
DEMAT/Conversion Rejections (For NRI and OCB clients)		Rs. 25/- per rejection + Courier/Postal Charges for Security/MF item, security/MF certificate etc.
REMAT / Redemption/ Restart - SOA		a. A fee of Rs. 35/- for every 100 securities or part thereof. (OR) b. A flat fee of Rs. 35/- per certificate, whichever is higher.
Delivery Instruction Book		Nil
Fax Indemnity (Optional)		Actual
Courier/Postal Charges of Security/MF item, security/MF certificate etc.		Actual (Applicable for NRI/OCB clients only)
Courier/Postal Charges for dispatch of documents in hard form		Rs 50/- per dispatch
		Rs 25/- per dispatch for BSDA clients
Non Disposable Undertaking (NDU)		Rs. 35 or 0.02% of the transaction value (whichever is higher)
Margin Pledge Creation/Closure		Rs. 15/-
Margin Pledge Creation/Closure Confirmation / Invocation		Nil
Margin Trading Funding Pledge - Creation		Rs. 35/- per instruction
Margin Trading Funding Pledge – Closure/Invocation		Nil
<b>* GST extra</b>		

**Note:**

- In case of delays in the payment of charges, the demat account will be frozen for all operations till such time all dues are cleared subject to 30 days' notice from the payment due date.
- All instructions for transfer must be received in physical form from the clients upto 4:00 PM on "T+1" for pay-in of securities. Late instructions would be accepted at the account holder's sole risk and responsibility.
- Charges are subject to revision at the company's sole discretion and as per revision in NSDL/CDSL charges and are subject to 30 days' notice from the date of applicability.
- All payments to be made in the name of "Dhani Stocks Ltd." via a cheque/DD payable at the local branch where the account is opened. Out-station cheques will not be accepted.

☞ (10) \_\_\_\_\_  
Sole / First Holder


☞ (10) \_\_\_\_\_  
Second Holder

☞ (10) \_\_\_\_\_  
Third Holder

**Note:**

- In case of delays in the payment of charges, the demat account will be frozen for all operations till such time all dues are cleared subject to 30 days' notice from the payment due date.
- All instructions for transfer must be received in physical form from the clients upto 5:00 PM on "T day" for pay-in of securities. Late instructions would be accepted at the account holder's sole risk and responsibility.
- Charges are subject to revision at the company's sole discretion and as per revision in NSDL/CDSL charges and are subject to 30 days' notice from the date of applicability.
- All payments to be made in the name of "Dhani Stocks Ltd." via a cheque/DD payable at the local branch where the account is opened. Out-station cheques will not be accepted.
- Out of pocket expenses incurred on the dispatch of securities for Dematerialization and communication charges incurred on out-station calls/faxes made specifically on request of the client will be charged on actuals.
- Any advance payment over and above the normal amount due can also be made.
- It may be noted that in the event of demat account closure or shifting of demat account to another DP, the upfront annual AMC collected is refundable to the extent of balance quarter(s)
- In case of BSDA Account, the value of holdings exceeds Rs. 10,00,000/- on any date or the account holder cease to meet the eligibility criteria for BSDA, then charges would be levied as that applicable to regular account (non-BSDA) from that date onwards.

<b>CHARGES ON NON-PAYMENT OF DUES:</b>		
Penalty and Interest Charges	NSDL	A penalty of 2% per month on the value outstanding on the bill after one month from the due date.
	CDSL	A penalty of 1.083% per month on the value outstanding on the bill after one month from the due date
Non-Payment of bill after 30 days		Temporarily the Depository Services will be withdrawn from the payment due date. The renewal charges for resuming the Services will be Rs. 100/- per account.

 (11) \_\_\_\_\_  
Sole / First Holder

 (11) \_\_\_\_\_  
Second Holder

 (11) \_\_\_\_\_  
Third Holder

## POLICIES & PROCEDURES – EQUITY AND COMMODITIES SEGMENT

### 1. Refusal of orders for penny / illiquid stocks / Commodity Derivatives

The Stock Broker shall have the absolute discretion, from time to time, to refuse/partially refuse/accept orders in one or more securities / commodities due to various reasons including trading in penny stocks/commodity(ies), market liquidity, value of security(ies)/commodity(ies), illiquid options, far month options, writing of options, market capitalization of the stock /commodity(ies) and such stock/commodity(ies) not in demat form, securities which are not in the permitted list of the Stock Broker / exchange(s) / SEBI and/or appear under illiquid securities/commodity(ies) declared by the exchange(s). It is also provided further that Stock Broker may ask for compulsory settlement/advance payment of expected settlement value/delivery of securities/commodity(ies) for settlement prior to acceptance/placement of order(s) as well. Losses, if any, on account of such refusal by the Stock Broker or due to delay caused by such limits, shall be borne exclusively by the client alone. The Stock Broker shall not be responsible for any financial or other implications due to such execution, delay in execution or non-execution of any such orders.

The Stock Broker shall have the prerogative to place such restrictions, notwithstanding that the client has sufficient credit or margin available in his account. The Stock Broker, may however, allow for acceptance of such orders, for certain securities/commodity(ies) on its own discretion, through its specific internal process, instead of allowing such orders through the standard process like online trading platform or its branches.

### 2. Setting up client's exposure limits

The Stock Broker, may from time to time, vary limits or impose new limits for the orders that the client can place through the Stock Broker's trading platforms. The Stock Broker would have the sole discretion on setting these limits based on its risk perception of the client, Margin received from the client, Market conditions and other factors, but not limited to, limits on account of exchange/SEBI directions/limits (such as Stock Broker level/ market level limits in security specific/volume specific exposures etc.). This would include exposure limits, turnover limits, limits as to the number, value and/or kind of securities/commodity(ies) in respect of which orders can be placed etc.). The client is aware that the Stock Broker may be unable to inform the client of such variation, reduction or imposition in advance. The Stock Broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Stock Broker's trading system on account of any such variation, reduction or imposition of limits.

The Stock Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities/commodity(ies) through the Stock Broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities/commodity(ies) or the order being outside the limits set by the Stock Broker / exchange / SEBI and any other reasons which the Stock Broker may deem appropriate in the circumstances. Losses, if any, incurred by the client on account of such refusal or delay, shall be borne exclusively by the client alone.

The Stock Broker shall have the prerogative to allow differential buy and sell limits for its clients depending upon credit worthiness, integrity and past conduct of each client.

### 3. Applicable brokerage rate

The Stock Broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

- a. **For Cash Market Segment:** The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. It is further clarified that where the sale / purchase price value of a share is Rs 10/- or less, a maximum brokerage of 25 paise per share may be charged.
- b. **For Option contracts:** Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on the options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot), whichever is higher.
- c. **For Future contracts:** Brokerage for future contracts shall be charged on the value at which the contracts are bought or sold. It is hereby further clarified that brokerage on the futures contracts shall not exceed 2.5% of the

Contract value exclusive of statutory levies. The slab rates of brokerage are function of the cost of the services being provided to the client and would be reviewed from time to time

- d. **For Commodity Derivative contracts:** The Stock Broker is entitled to charge brokerage within the limits imposed by exchange.

**4. Imposition of penalty/delayed payment charges/other charges**

The Stock Broker would be entitled to levy or charge delayed payment charges not exceeding 24% per annum on any amounts which are overdue from the client towards trading or on account of any other reasons. The client shall pay to the Stock Broker brokerage, all taxes, duties, levies to the stock exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, F&O charges, delayed payment charges, short delivery charges, auction charges, cheque stop payment charges, cheque bounce charges, lost token charges, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the Stock Broker.

The Stock Broker may impose penalties / fines for any orders/trades / deals / actions of the client which are contrary to Stock Broker Client Agreement/rules / regulations / Bye-Laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the Stock Broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders/trades / deals/actions of the client, the same shall be borne by the client.

5. **The right to sell client's securities/commodity(ies) or close client's positions, without giving notice to the client, on account of non-payment of client's dues.** The Stock Broker shall have the right and the prerogative to sell client's securities/commodity(ies), both unpaid securities/commodity(ies) as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is either a delay or failure of the client to meet the pay-in/settlement obligations and / or there is delay / failure of the client to bring additional margins to cover the increase in risk in dynamic and volatile market conditions.

The client would be responsible for monitoring his/her/its position (dealings/trades and valuation of security(ies))/commodity(ies) on his/her/its own and provide the required/deficit margin/security(ies)/commodity(ies) forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the Stock Broker to the client and/or whether or not such communication is received by the client. The client is not entitled to trade without adequate margin and that it shall be client's own responsibility to ascertain beforehand the margin requirements for its orders/trades/deals and to ensure that the required margin is made available to the Stock Broker in such form and manner as may be required by the Stock Broker. The client shall ensure that funds/securities/commodity(ies) are made available in time and in designated form at designated bank(s) and depository account(s) of the Stock Broker, for meeting his/her/its pay-in/settlement obligation of funds and securities/commodity(ies). The Stock Broker shall not be responsible for any claim/loss/damage arising out of non-availability/short availability/delayed availability of funds/securities/commodity(ies) by the client in the designated account(s) of the Stock Broker for meeting the pay-in/settlement obligation of either funds or securities/commodity(ies). If the client gives orders/trades in the anticipation of the required securities/commodity(ies) being available subsequently for pay-in/settlement through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/commodity(ies)/funds for pay-in/settlement for any reason whatsoever including but not limited to any delays/shortages at the exchange or Stock Broker level/non-release of margin by the Stock Broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square-off / closing outs etc., shall be solely to the account of the client and the Stock Broker shall not be responsible for the same in any form or manner whatsoever.

In case the payment of the margin/security/commodity(ies) is made by the client through a bank instrument, the Stock Broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument & subsequent updation in records as per Stock Broker's process. Where the margin/security/commodity(ies) is made available by way of securities/commodity(ies), it is upto the Stock Broker's discretion to decline its acceptance as margin &/or to accept it at such reduced value as the Stock Broker may deem

fit by applying haircuts or by valuing it by marking it to market or by any other method as the Stock Broker may deem fit in its absolute discretion.

In the event of client failing to maintain or provide the required margin/fund/security(ies) /commodity(ies) or to meet the funds/ margins/securities/commodity(ies) pay-in obligations on immediate basis for the orders/trades/deals of the client and the Stock Broker shall have the right, without any further notice or communication to the client, to withhold pay-out of funds/securities/commodity(ies), to liquidate security(ies) /commodity(ies), to disable trading facility to the client.

Losses, if any, on account of any one or more steps, as enumerated herein above, being taken by the Stock Broker, shall be borne exclusively by the client alone.

In case the client does not pay for the securities/commodity(ies) received in pay-out, then the stock broker shall be entitled to retain those securities/commodity(ies) up to five trading days after pay-out. Further, where client fails to meet its funds pay-in obligation within five trading days from pay-out, the stock broker shall liquidate the securities/commodity(ies) to recover its dues.

## **6. Shortages in obligations arising out of internal netting of trades**

Short delivery of shares by client(s) against his/her/its selling obligation shall result into either into one or both of the following –

**a. Short Delivery to the Exchange for scrip at the Trading Member level:** In case of short delivery to exchange, the settlement happens as per the auction/close-out mechanism of Exchange and auction/close-out debit is passed to the defaulting clients who did not fulfil his/her/its selling obligation.

**b. Short delivery of pay-out to clients who bought the scrip on that day (Client to Client shortage):**

The shares delivered short shall be purchased on the pay-in date i.e. on T+1 or T+2, as the case may be, from Normal Market and the purchase consideration amount shall be debited to the defaulting client(s).

However when multiple settlements (say S1 and S2) are conducted on the same day (say T<sub>m</sub>), the shares delivered short, in case of T+2 settlement, shall be purchased as under –

1. The shares delivered short in first settlement (S1) shall be purchased on T+2 day (T<sub>m</sub>) from Normal Market and the purchase consideration amount shall be debited to the defaulting client(s).

2. The shares delivered short in second settlement (S2) shall be purchased on T+3 day (T<sub>m</sub>) from Normal Market along with shortages of that day and the purchase consideration amount shall be debited to the defaulting client(s). If the covering rate (internal shortage repurchase) is more than the actual sell rate on T day, the difference amount will be borne by the defaulting client on sell side.

If the covering rate (internal shortage repurchase) is less than the actual sell rate on T day, the difference amount will be debited to the defaulting client on sell side and credited in a separate account maintained with Dhani Stocks Limited (DSL).

Further, if DSL is unable to buy shares on T+2 day, in case of T+2 days settlement, from normal market due to upper side freeze on the scrip or any other reason, the defaulting seller will be debited at the close-out rate and the corresponding buyer will be credited by equivalent amount. The close-out rate will be the highest between the trade date and (T+2) date or 20% above the official closing price on the (T+2) day, whichever is higher.

Further if the shares covered against client to client shortages is again received short from any client, the trade will be settled by the close-out debit to seller client and corresponding buyer for whom the shares were covered will be credited by equivalent amount. The close-out rate will be the highest rate between the repurchase date (T day) and auction date i.e. (Repurchase date +2) day or 20% above the official closing price on the auction day, whichever is higher.

If the shares repurchased against client to client shortages received short from Exchange, the settlement happens as per the auction/close-out mechanism of exchange.

**c. Mechanism of choosing corresponding clients on the buy side:**

Corresponding clients on the buy side of scrip A are chosen on the basis of the descending quantity of shares bought by them i.e. first the client (say X) who has purchased highest quantity of scrip A will be picked up and if the shortage of shares is more than the quantity of shares bought by the client X, then the client who has purchased the next highest quantity will be picked up so on and so forth. The shares bought on T+2 in case of Client to Client shortage and shares/credit received from Exchange through auction process in case of Trading Member level shortage are credited to the corresponding client on buy side of scrip A chosen through the aforesaid mechanism.

**7. Conditions under which a client may not be allowed to take further position or the Stock Broker may close the existing position of a client**

The Stock Broker may refuse to execute order of a client or may close the existing position of the client due to lack of margin / securities/commodity(ies) or the order being outside the limits set by Stock Broker / exchange/ SEBI. Other reasons for not allowing further positions or closing out of existing positions could be as:

- a. Client has not met his pay-in obligations in cash by the scheduled date of pay-in for purchases done in CM segment.
- b. Non-payment or erosion of margins or other amounts, outstanding debts, etc.
- c. Client is dealing in illiquid scrips or contracts/penny stock/commodity(ies).
- d. Cheque submitted by the client has bounced or clear funds not received with the Stock Broker for the cheque submitted by the client.
- e. If in the opinion of the Stock Broker, the client has committed a fraud, crime, or acted in contravention to the agreement.
- f. Non-Payment of Marked to Market loss in Cash.
- g. Open positions in a contract exceed or are close to market wide cut-off limits.
- h. Client's position is close to client-wise permissible "open" positions.
- i. Intraday orders after the cut-off time would not be allowed.

**8. Temporarily suspending or closing a client's account**

The Stock Broker can suspend/close the client account and also withhold the pay-outs of client if there is any judicial or/and regulatory order/action requiring suspension/closure of client's account. The Stock Broker can also suspend/close the client account if the Stock Broker observes any abnormal or suspicious activity in the client account through its monitoring and surveillance of the client account. The Stock Broker may also temporarily suspend/dose the client account if there is no activity in the client account for a period, as deemed fit by the Stock Broker from time to time. The client's account can also be put under temporary suspension/closure if the client has not cleared the uncovered debit in its account or if the client has not submitted Know Your Client (KYC) details sought by the Stock Broker to fulfil its own surveillance or exchange related requirements.

In the event of information/reports reaching the Stock Broker of the client's death, the account can also be put under temporary suspension/closure.

The Stock Broker can also put the client's account under temporary suspension/closure if the client has failed to provide or update its communication details like correspondence address, Mobile number, landline numbers or E-mail ID.

The client may also request the Stock Broker to temporarily suspend/close his account, Stock Broker may do so subject to client accepting / adhering to conditions imposed by Stock Broker including but not limited to settlement of account and / or other obligation.

**9. De-registering a client**

The client has the option to De-register his account after settling his account with the Stock Broker. The client would be liable to pay all dues in his account before the De-registration. The Stock Broker shall have the right to terminate the agreement with immediate effect in any of the following circumstances:

- a. The client account figures in the list of debarred entities published by SEBI.



- b. The actions of the Client are prima facie illegal / improper or such as to manipulate the price of any securities/commodity(ies) or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- c. If there is any legal /regulatory proceeding against the client under any law in force.
- d. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- e. If the Client is in breach of any term, condition or covenant of this Agreement;
- f. When the Stock Broker is informed or ascertains that the client has deceased / become insolvent / not able to act in the market due to lunacy/disability etc.
- g. The Stock Broker shall have the right to close out the existing positions, sell the collaterals to recover any dues with or without consent of the client before de-registration of the client.
- h. Either party will be entitled to terminate the agreement without assigning any reason, after giving notice in writing of not less than 30 days to the other party.

Not with standing any such termination/deregistering, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination/deregistering, shall continue to subsist and vest in/ be binding on the respective parties or his/its respective heirs / executors / administrators / legal representatives / successors as the case may be.

## 10. INACTIVE CLIENT ACCOUNT

A client account will be categorised as inactive, if no trades have been carried out since last 12 (Twelve) months across all exchanges.

Reactivation: Client accounts that have been categorised as 'Inactive/Dormant' can be reactivated only after receiving updated information and/or confirmation related to KYC from concerned client. Dhani Stocks Limited shall also have the discretion to reactivate a trading account, after doing enhanced due diligence, as the company may consider fit and proper. Further, in case client has not traded in the last 24 months (dormant for two year), fresh documentation/KYC, due diligence and IPV is undertaken before reactivation of the client account.

### CLIENT ACCEPTANCE AND ACKNOWLEDGEMENT

These policies and procedures may be amended/changed by Dhani Stocks Limited (DSL), provided the change is informed to the client through any one of the means or method like posting on the website Dhani Stocks Limited (DSL) or sending by speed post / courier / registered AD/ e-mail. These policies and procedures are to be read along with the document executed and shall be compulsorily referred to while deciding any dispute/difference in claims in between client and Dhani Stocks Limited (DSL) in any court of law, judicial / adjudicating authority, including arbitrator, mediator etc.

Client's signature:  (12) \_\_\_\_\_

## Terms and Conditions between Client and Dhani Stocks Limited

### I. GENERAL TERMS AND CONDITIONS

- A. The Client shall transmit his/her/its orders to the Stock Broker through the Internet over the Stock Broker's website; or through telephone (as per the predefined procedure of forwarding the order through a phone broking executive or in such other manner as the Stock Broker may permit) or through instruction in writing or through oral instructions.
- B. The Client hereby authorizes the Stock Broker to rely and act on, and treat as fully authorized by and binding upon the Client, any order, instruction or communication (by whatever means transmitted and whether or not in writing) which purports to have been given and which the Stock Broker reasonably believes in good faith to have been given by the Client or a person duly authorized to act on behalf of the Client and, if the Stock Broker acts in good faith on such instructions, such instructions shall be binding on the Client without restriction and the Stock Broker shall not be under any duty to verify the authenticity of such instructions or the identity of the person(s) giving them. The client agrees that he/she/it shall be responsible to the Stock Broker for all commitments and obligations made or entered into in the Client's name whether in writing or orally and howsoever communicated or purported to be given as aforesaid.
- C. The Client shall, from time to time, notify the Stock Broker in writing the names of the persons who are authorized to give instructions to the Stock Broker on behalf of the Client until and unless the Stock Broker is notified in writing to the contrary.
- D. The Stock Broker shall have the right to add or delete securities/commodity(ies) in its permitted list of securities/commodity(ies), for which the facility is made available, in its absolute discretion and details of the same would be posted on the website and no separate intimation thereof will be sent to the Client either physically or electronically.
- E. Declaration by the client**
- i. The Client shall not believe in any promises made about "Assured Returns" by the Stock Broker's employees or Sub-Brokers and/or so called "hot tips", if any.
  - ii. The Client shall not rely on any implicit/explicit promise made by the issuer or any third party on returns
  - iii. The Client shall not match/synchronize trades with any other person nor shall he indulge in any trading activity which results in disturbance of market equilibrium in any manner including manipulation of price of any scrips.
  - iv. The Client shall always keep track of the margin requirement either by contacting his/her/its Branch or by logging into trading account/website.
  - v. The Client shall not respond to any E-mail from an address appearing to be sent by the Stock Broker or from any other Email ID, asking the Client for his/her/its personal information, account details or information on your User ID and Password of the Client's trading and/or depository account and that it is the Stock Broker's policy not to seek such information through E-mail.
  - vi. The Client shall not take help from any employee of the Stock Broker or any other person while resetting his/her/its Password and that in case the Client has taken help from someone while resetting his/her/its password, then the Client shall immediately change his/her/its password again and ensure that the new password is only known to him/her/it.
  - vii. The failure of the Client to understand the risk involved shall not render a contract as void or voidable and the Client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the Client chose to trade.
- F. The Client will not hold nor seek to hold the Stock Broker or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses, cost of damage incurred by the Client consequent upon relying on investment information, research options or advice or any other material/information what so ever on the website whether inserted by the Stock Broker or any other agency.

The Client is aware that any information on the website based on the research of the Stock Broker or other external sources is subject to normal variations in the stock market and is merely an estimation of the viability or otherwise of certain investments, and the Stock Broker shall not be deemed to have assumed any responsibility for such information.

- G. The Client understands that the Stock Broker may at any time, at its sole discretion and without prior notice to the client, prohibit or restrict the Client's access to the use of the website or related Services and the Client's ability to trade. Client will bear any loss that he/she/it may be faced with due to inability to execute further trades on account of such restriction
- H. The Client shall immediately notify the Stock Broker in writing, delivered via E-mail and/or Registered AD, if the Client becomes aware of any loss, theft or unauthorized use to Client's account; and in such eventuality the Stock Broker shall suspend the use of the account of the Client. However the Client shall be responsible and liable for all transactions that are carried out by the use of the Client's user ID and personal details..
- I. The Client understands that placing an order with the Stock Broker, including a market order does not guarantee execution of the order. The Stock Broker has the absolute right to reject any order that may be made by the Client if the same prima facie appears to be suspicious in nature and/or involves the breach of the requirement of maintaining the prescribed Margin in the Client account or the bank account.

The Stock Broker shall not be liable for any losses, damages or claims on account of such non-execution or cancellation of any trade.

## **II. Conditions governing transactions in Capital Market**

- A. For change of address or any personal details of the Client, the Client shall send a letter or fax to the Stock Broker duly signed by himself/authorized signatories
- B. All the personal details provided by the client shall be deemed to be true and correct and in case of any dispute same shall be relied upon. The client undertakes not to dispute and keep the Stock Broker indemnified in the event, if any, if the information is found to be incorrect or false. Neither the Stock Broker nor any of the employees shall be liable for erroneous information so provided.
- C. Neither the Stock Broker nor any of the employees shall be liable for erroneous information so provided.
- D. Neither the Stock Broker nor any of its employees/representatives shall be liable for any failure to perform its obligations, to the extent that such performance has been delayed, hindered or prevented by systems failure, network errors, delay or loss of data due to the above and in circumstances of acts of God, floods, epidemics, quarantine, riot or civil commotion and war. Further the Client agrees that he/she/it will not be compensated by the Stock Broker for any "lost opportunity" viz. notional profits due to whatsoever reasons, including but not limited to the reasons mentioned in the General Terms and Conditions.

## **III. Conditions governing transactions in Derivatives (including commodity derivatives)**

### **A. Margin/Collateral**

- i. The Client shall pay the prescribed initial margin in the form of cash and/or in the form of securities (the Margin) with the Stock Broker and the Margin will not be interest bearing. The Stock Broker shall have at its sole discretion, the irrevocable right to set off a part of whole of the Margin i.e. by the way of appropriating of the relevant amount of cash or by sale or transfer of all or some of the Securities which form part of the Margin, against any dues of the Client in the event of the failure of the Client to meet any of their respective obligations.
- ii. The Client also agrees and is made aware that in case intraday loss is such that margin position goes down, Stock Broker can sell any or all securities/positions lying in his/her/its account without giving notice to the Client as it/he/she is also required to keep track of its/his/her margin position. Stock Broker is entitled to square off/sell the position or shares at any time during the day or thereafter in the account & Client undertakes not to raise any dispute & shall not hold Stock Broker responsible for any loss arising thereof.

- iii. The Stock Broker may at its sole discretion prescribe the payment of Margin in the form of cash instead of or in addition to margin in form of securities. The Client accepts to comply with the Stock Broker's requirement of payment of Margin in the form of cash immediately.
- iv. The Client agrees that any securities/cash placed by him/her/it as margin money may in turn be placed as margin by the Stock Broker with the Exchange or banks or such other institution as the Stock Broker may deem fit. The Client authorizes the Stock Broker to do all such acts, deeds and things as may be necessary and expedient for placing such securities/cash with the Exchanges/Banks/Institutions as margin.
- v. In exercise of the Stock Broker's right to sell securities under the General Terms and Conditions, the Client agrees that the choice of specific securities to be sold shall be solely at the Stock Broker's discretion. Any and all losses and financial charges on account of such liquidation / closing-out shall be charged to and borne by the client.
- vi. The Client agrees and empowers / authorizes the Stock Broker to act at its discretion of merging balances kept under various accounts held with the Stock Broker such as, CM Trading Account, F&O Trading Account, Derivatives/Currency Derivatives Trading Accounts, margin trading account etc., to nullify the debit in any other account of the Client held with the Stock Broker without taking any further instructions from the Client.
- vii. The Stock Broker shall be entitled to require the client to keep permanently with the stock broker, a deposit/collateral/margin of a value specified by the stock broker so long as the client desires to avail of the stock broker's services. If any Commodities are found not to be of Good Delivery at any time after it's deposit with the Stock Broker, the Stock Broker is entitled to reduce the amount attributable to such security in the Client's account and the client shall immediately replace the same, failing which the stock broker is entitled to revise the limits of the Client and/or square-off all or any outstanding position(s) in the Client's account.
- viii. The client hereby gives to the stock broker, an irrevocable and unconditional right to appropriate any collateral or margin, without any prior reference to the client in order to discharge any and all current or future indebtedness or any other obligation (including contingent indebtedness or obligation) that the client may have to or through the Stock Broker and/or Business Associate(s).
- ix. Without prejudice to the provisions of clause viii & ix in case the Constituent does not provide the required collateral/margin within the time frame specified by the Member, the Member shall have the right to:
  - a. Appropriate and/or transfer and/or sell any Commodities or collateral in the Client's Account and/or instruct the Designated Depository Participant to sell and/or transfer all or any Commodities thereof.
  - b. Prevent any new orders from being placed and/or executed by the Constituent; and/or
  - c. Take such other action as the Stock Broker thinks fit and proper.

The Stock Broker may exercise all or any of the above rights in such manner as the it thinks appropriate, without demand for additional margin or collateral, or advance notice or advertisement, on any Exchange or other market where such business can be transacted, at a public auction or by private sale and the Stock Broker and/or any of its Business Associate(s) may be the purchaser/seller for its own account. Any prior demand, call or notice given in this regard shall not be considered as a waiver of the Stock Broker right to exercise its rights without any such demand, call or notice.

- x. The Stock Broker shall be entitled to debit all costs/expenses incurred by it in relation to or associated with the margins/collaterals of the Client to the Clients account.

## **B. Dealings**

- i. In the event of the sale of any Securities by the Stock Broker at the request of the Client and the inability of the Stock Broker to deliver to the purchaser the securities so sold by reason of the failure of the Client to supply the same, the Stock Broker therewith then, and in such event, but subject to the provisions of applicable laws, rules and regulations, the Client authorizes the Stock Broker to borrow, purchase or otherwise acquire any Securities necessary to make delivery thereof. Further, the Client accepts liability for any premiums which the Stock Broker

may be required to pay, and for any losses, costs, charges, expenses or other liabilities whatsoever which the Stock Broker may sustain or incur by reason of the Stock Broker's inability to deliver the Securities in question.

- i. The Stock Broker shall not be liable for any losses (whether actual or notional) sustained by the Client, directly or indirectly, if it is prevented from acting as a direct or indirect result of government restrictions, Exchange or market rulings, computer, communication, telephone or system failure, power failure, equipment or software malfunction, the imposition of emergency procedures or suspension of trading by any relevant exchange, clearing house or other market, civil disorder, acts or threatened acts of terrorism, natural disasters, war, strikes or other circumstances beyond its control.

### **C. Mistaken orders**

The Stock Broker shall not be responsible for any order, that is made by the Client by mistake and every order that is entered by the Client through the use of the allotted user name and the security code(s) shall be deemed to be a valid order for which the Client shall be fully responsible.

### **D. Voice recordings**

- i. The Client hereby acknowledges and agrees to the use of voice recording devices by the Stock Broker of any telephone conversation between the Stock Broker and the Client and any of the Client's authorized persons, employees, officers or agents, without an automatic tone warning device in order to permit the Stock Broker to verify data concerning any matters relating to the purchase and/or sale of Securities.
- ii. The Stock Broker endeavours to record all the conversation between the Stock Broker and the client, however the client understands that certain transactions may not be captured/recorded due to technical defects, certain unforeseen events and non-availability of the said facility in the concerned branch therefore non-availability of any one or all of the voice recording do not render the transactions invalid & same shall be binding on the client

### **E. Conclusiveness of records**

The Stock Broker's own records of the trade/transaction maintained through computer system or otherwise shall be accepted as conclusive and binding on the Client for all purposes

## **IV. Stock Broker Client Communication**

### **A. Electronic communication of documents**

The Stock Broker shall send to the Client by electronic means the trade confirmation of the trades executed, bill and account statement. The Client agrees that the Stock Broker fulfils its legal obligation to deliver to the Client any such document if sent via electronic delivery. The Client understands that it is his/her/its responsibility to review, upon first receipt, whether delivered to Client by mail, E-mail (including any auto replies from the system of the Stock Broker) or other electronic means, but not limited to all confirmation statements, notices, bill and other communication or the contract notes via the physical mode, statement of accounts for commodities, trade confirmation(s) of the trade(s) executed, bills, notices, Commodities transaction tax statement(s) & any other communication sent on client's registered Email ID. The e-mail address provided by the client in the KYC and any subsequent updation shall be final and binding on the client. The Client also agrees that the Stock Broker shall not take cognizance of out of-office/out-of-station auto replies and the Client is deemed to have received such electronic mails. The Stock Broker shall send Ledgers, STT Statement and all other statements only on Clients registered E-mail ID. Further, the aforesaid information / communication/documents will be deemed to have been delivered, at the designated location (specified from time to time) where the client logs into the internet site using his/its username and password. The Client accepts the same as a valid delivery of the said information/communication.

Further, the Member and the Client hereby agrees to abide by the amendment required if any, for complying with any Statute, regulation or with the requirements of any competent authority.

## **B. Change of Address/Contact Details**

Unless the Client informs the Stock Broker of the change of the address for communication and/or contact details viz. mobile number/landline number in writing all notice, circulars, communication or mail sent to the existing address and/or contact number(s) shall be deemed to have been received by the Client.

## **C. Notice/Policies**

Certain policies and/or procedures may be further outlined on the Stock Broker's website and material/literature and frequently asked question (FAQ's) provided to the Client. Through the use of the Stock Broker's website and services the Client agrees to be bound by any and such notices, policies and terms of doing business.

## **D. Security Code(s), Security Precaution and Infrastructure**

### **i. Use of Client ID /Password**

The Client confirms and agrees that it will be the sole authorized user of the User name, Password, Client User Identification Number, Telephone Personal Identification Number (T-Pin) or other identification or security code by whatever name called, to be given to it by the Stock Broker to access Stock Broker's system or service through Stock Broker's website, over the telephone or in such manner as may be permitted by the Stock Broker for availing of the service. The Client accepts sole responsibility for use, confidentiality and protection of the User name Password, Client User Identification Number, T-Pin or other security code(s) as issued by the Stock Broker to the Client from time to time (hereinafter referred to as 'security codes' as for all orders and information changes entered into the Client's account using such security codes).

### **ii. Client's infrastructure**

For the purpose of these Terms, it is presumed that the Client has all the necessary and compatible infrastructure ready at its end for the purpose of accessing the website of the Stock Broker or contacting the phone broking executive of the Stock Broker prior to accessing the service provided pursuant to these terms. The Stock Broker will not (and shall not be under any obligation to) assist the Client in installing the required infrastructure or obtaining the necessary equipment permits and clearance to establish connectivity or linkages to the website of the Stock Broker.

### **iii. Prevention of unauthorized use**

The Client will install the necessary safeguards and access restrictions to prevent unauthorized use of Client computer systems or security code and ensure that no unauthorized person can gain access to the computer systems or such security codes.

### **iv. Liability for incorrect instructions**

The Client agrees to fully indemnify and hold harmless the Stock Broker for any losses, expenses or other consequences arising from the execution of incorrect/ambiguous or fraudulent instruction that got entered through the system at the Client's end.

## **E. Miscellaneous provisions governing the terms**

### **i. Limitation of liability**

- a. The Stock Broker does not guarantee and shall not be deemed to have guaranteed, the timeliness, sequence, accuracy, completeness, reliability or content of market information, or message disseminated to the Client. The Stock Broker shall not be liable for any inaccuracy, error or delay in, or omission of, (1) any such data information or message, or (2) the transmission or delivery of any such data, information or message; or any loss or damage arising from or occasioned by:
  - i. Non-performance, or,
  - ii. interruption in any such data information or message, due to either any act or omission by the Stock Broker or to any 'force majeure' event (e.g. flood, extraordinary weather condition, earthquake or other act of God fire, war, insurrection riot labour dispute, accident, action of movement communications, Power failure, shut down of systems for any reason {including on account of computer viruses}, equipment or software malfunction) or any other cause beyond the reasonable control of the Stock Broker.

- b. The Stock Broker shall not be liable for any such inaccuracy, error, statement, or representations committed by any person or other associated third parties engaged by the Stock Broker to promote the services offered by it or on account of associated third party engaged by stock broker for the services offered by it. The Client agrees that he/she/it places no reliance on such persons and will exercise due care and diligence in relying on any statements made by such persons.
- c. The Client agrees that, under no circumstances, including negligence, shall the Member or anyone involved in creating, producing, delivering or managing the Member's services or System be liable, for any direct, indirect, incidental, special, general, remote, actual, notional or consequential loss and /or damages, arising out of the use or inability to use or the availability or non-availability of the services, including but not limited to loss or damage in relation to:
  - i. lost profits, trading losses, loss of opportunity or damages that result from interruption, delay or loss of the use of the Service; inability to trade for whatsoever reason
  - ii. any claim, loss or damage attributable to errors, omissions or other inaccuracies in the content or data on The Member's Web Site or the ORS Service;
  - iii. any unauthorized use, access or alteration or discontinuance of any services; or
  - iv. any other matter relating to the services

## ii. Severability and Amendment

If any provisions of these Terms are held invalid or enforceable by reason of any law, rule, administrative order or judicial decision by any court, regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms shall not be affected thereby and these terms shall be carried out as if any such invalid/unenforceable provisions or terms were not contained herein. Words and expressions which are used this General Terms and Conditions, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Bye-Laws and Regulations of the exchange(s) and circular issued there from.

This General Terms and Conditions can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this General Terms and Conditions.

The Member shall have the right to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

## iii. Warranties of client

The client agrees and understands that the use of the Service by client, resident or situated outside India, may attract international, federal, state and/or local laws and regulations applicable to such Client. It shall be the sole responsibility of such Client, to ensure and comply, at all times with such applicable international, federal, state and/or local laws and regulations. The Client indemnifies the Member, its directors, employees, partners, Business Associates, agents and affiliates from and against any and all losses, claims, liabilities and/or expenses which may arise as a result of any failure by the Client to comply with the provisions of this clause

## F. Credit inquiry

The Client authorizes the Stock Broker to conduct at any time a credit inquiry or check on the Client for the purpose of ascertaining the financial situation and investment objectives of the Client and the Client shall provide such financial and other information to the Stock Broker as may be required by the Stock Broker from time to time.

## G. Foreign jurisdiction

This General Terms and Conditions does not constitute an offer to sell or a solicitation of an offer to buy any shares, securities or other instruments to any person in any jurisdiction where it is unlawful to make such an offer or solicitation.

The services covered under this General Terms and Conditions are not intended to be any form of any investment advertisement investment advice or investment information and has not been registered under any securities law of any foreign jurisdiction and is only for the information of any person in any jurisdiction where it may be lawful to offer such a service. Further, any information on [www.dhanistocks.com](http://www.dhanistocks.com) is to be construed as a representation with respect to shares, securities or other investment regarding the legality of an investment therein under the respective applicable investment or similar laws or regulation of any person or entity accessing [www.dhanistocks.com](http://www.dhanistocks.com).

## H. Proprietary Trading

The Member discloses herewith that it undertake Proprietary trading in addition to Client based trading

## I. Electronic Payment Gateway

i. The Client understands that issuing an online instruction to transfer fund do not guarantee the credit of the money as the same may be delayed due to time lag in Gateway transfer process, or any other technical or other reasons whatsoever beyond the control of the Stock Broker. The Client undertakes to bear the resultant loss, if any arising out of such eventuality.

### ii. **Electronic Payment Gateway for Net banking Service**

The Stock Broker shall endeavor to provide through Electronic Payment Gateway for Net banking, such service as the Stock Broker may decide from time to time. The Stock Broker reserves the right to decide the type of services which may be offered on each account and may differ from Client to Client. These facilities shall be offered in a phased manner at the discretion of the Stock Broker. The Stock Broker may also make additions/deletions to the services offered through Electronic Payment Gateway for Net banking at its sole discretion. The availability/non-availability of a particular service shall be advised through E-mail or web page of the Stock Broker or written communication.

### iii. **Password**

The Client understands and agrees that it/he/she must:

- a. Keep the password totally confidential and not reveal the same to any third party.
- b. Choose a password that shall consist of a mix of alphabets, numbers and special characters, which must not relate to any readily accessible personal data such as it/his/her name, address, telephone number, driver license etc. or easily guessable combination of letters and number.
- c. Commit the password to memory and not record them in a written or electronic form, and
- d. Not let any unauthorized person have access to their computer or leave the computer unattended while accessing Electronic Payment Gateway for Net banking.
- e. In case the Client forgets the password for their account with the Stock Broker, it/he/she can request for change of the password. Such replacement shall not be construed/deemed as the commencement of a new contract.

### iv. **Transaction Processing**

All the requests for instantaneous transactions will be given effect to instantaneously. In case requests for effecting any transactions are received on weekly offs/holiday/public holidays, with the Stock Broker, the Exchange & bank, they shall be effected on the immediately succeeding working day on the terms and conditions prevailing on that day. The Client shall not hold the Stock Broker or the bank responsible for not processing /effecting any transaction in case the Stock Broker does not receive instruction to this effect even though they have forwarded the same.

### v. **Risks**

The Client hereby acknowledges that it/he/she is availing the Payment Instruction Service at it/his/her risk. These risks would include but not limited to the following risks.

#### a. **Misuse of Password**

The Client acknowledges that if any third person obtains access to their password, such third person would be able to provide Payment Instructions to the Stock Broker. They shall ensure that the terms and conditions applicable to the use of the password as contained in the Electronic Payment Gateway for Net Banking Terms and Conditions are complied with at all times.

#### b. **Internet frauds**

The Internet per se is susceptible to number of frauds, misuse, hacking and other actions, which could affect Payment Instruction to the Stock Broker. Whilst the Stock Broker shall aim to provide security to prevent the same, there cannot be any guarantee from such Internet frauds, hacking and other actions, which could



affect Payment Instructions to the Stock Broker. The Client shall separately evolve/evaluate all risks arising out of the same

**c. Mistake & Errors**

The filling in the applicable data for transfer would require proper, accurate and complete details. For instance, the Client is aware that they would be required to fill in the account number of the Stock Broker to whom the funds are to be transferred. In the event of any inaccuracy in this regard, the funds could be transferred to incorrect accounts and there is no guarantee of recovery thereafter. The Client shall therefore take all care to ensure that there are no mistakes and errors and that the information given by the client to the Stock Broker in this regard is error free, accurate, proper and complete at all points of time. On the other hand in the event of my in this regard is error free, accurate, proper and complete at all points of time. On the other hand in the event of the clients Account receiving an incorrect credit by reason of a mistake committed by some other person, the Stock Broker or the bank shall be entitled to reverse the incorrect credit at any time whatsoever without the consent of the client. The client shall be liable and responsible to Stock Broker and accede to accept the Stock Broker's instructions without questions for any unfair or unjust gain obtained by me as a result of the same.

**d. Transactions**

The transactions, in respect of transfer of the funds may not fructify, the Stock Broker is merely providing it/him/her services whereby the said funds would be transferred.

**e. Technology Risks**

The technology for enabling the transfer of funds and the other services offered by could be affected by virus or other malicious, destructive or corrupting code, programme or macro. It may also be possible that the site of the Stock Broker or the bank may require maintenance and during such time it may not be possible to process the request of the Clients. This could result in delays in the processing of instructions or failure in the processing of instructions and other such failure and inability. The client understands that the Stock Broker disclaims all and any liability, whether direct or indirect, whether arising out of loss or profit or otherwise arising out of any failure or inability by the Stock Broker to honour any Client instruction for whatsoever reason. The client understands and accepts that the Stock Broker shall not be responsible for any of the aforesaid risk. Client also accepts that the Stock Broker shall disclaim all liability in respect of the said.

**f. Indemnity**

The Client shall indemnify the Stock Broker from and against all losses and damages that may be caused as a consequence of breach of any of the Electronic Payment Gateway for Net banking Terms and Conditions and the terms and conditions mentioned herein above.

**g. Withdrawal of Facility**

The Stock Broker shall be entitled to withdraw this service at any time whatsoever without assigning any reason whatsoever and/or any notice to the Client.

**h. Charges**

The Client hereby agrees to bear the charges as may be stipulated by the Stock Broker from time to time for availing of these services.

**i. Binding nature of above terms and conditions**

The Client agrees that by use of this facility, the Client shall be deemed to have agreed to all the above terms and conditions and such terms and conditions shall be bound on it/him/her in the same manner as if it/he/she has agreed to the same writing.

**j. Disclosure of personal information**

The Client agrees that the Stock Broker or its contractors may hold and process the Client's Personal Information on computer or otherwise in connection with Electronic Payment Gateway for Net banking service as well as for statistical analysis and credit scoring. The Client also agrees that the Stock Broker may disclose, in strict confidence, to other institutions, such Personal Information as may be reasonably necessary for reasons inclusive of, but not limited to, the following:

- i. For participation in any telecommunication or electronic clearing network in compliance with a legal directive.
- ii. For credit rating by recognized credit scoring agencies
- iii. For fraud prevention purposes

**k. Stock Broker's Lien**

The Stock Broker shall have the right of set-off and lien, irrespective of any other lien or charge, present as well future on the deposits held in the Client accounts and stocks whether in single name or joint name(s), to the extent of all outstanding dues, whatsoever, arising as a result of the Electronic Payment Gateway for Net banking service extended to and/or used by them.

**l. Non-transferability**

The grant of facility of Electronic Payment Gateway for Net banking to them is not transferable under any circumstances and shall be used only by the Client.

**m. Termination of electronic payment gateway for the net banking service**

- i. The Client may request for termination of the Electronic Payment Gateway for the Net banking facility any time by giving a written notice of at least 15 days to the Stock Broker. The Client agrees that he/she/it will remain responsible for any transactions made on their Electronic Payment Gateway for Net banking account(s) through Electronic Payment Gateway for Net banking prior to the time of such cancellation of the Electronic Payment Gateway for Net banking service.
- ii. The closure of all the Accounts of the Client will automatically terminate the Electronic Payment Gateway for Net banking service.
- iii. The Stock Broker may suspend or terminate Electronic Payment Gateway for Net banking facilities without prior notice.

**n. Corporate benefits; settlement cycle**

The Client understands that for corporate benefits / actions like Right issue / Open offers etc. where shareholders are required to apply to the company, it is the Client's responsibility to track announcements of such corporate benefit and then apply to the company if Client so desire s. Stock Broker shall not be liable for any real or national loss suffered by the Client, if Client fails to apply to such corporate benefits in time for the shares held by the Stock Broker on behalf of the Client. In some cases, Stock Broker at the Client's request may apply on behalf of the Client for a Rights Issue / Open offer for the shares held by Stock Broker on behalf of Client. Stock Broker shall not be liable for any loss / claim whatsoever in case such application is rejected by the Registrar / Company / Manager to the issue for any reason.

**J. Brokerage and Other Charges**

- (i) The Client agrees to pay to the Stock Broker the brokerage charges, Exchange related charges, Statutory levies, for F&O position, Bank Charges for Realization of Cheque/return of Cheque and any other charges whatsoever (including but not limited to security handling charges on settlement) as are prevailing from time to time and as they apply to the Client's account in respect of transactions and services that the Client receives from the Stock Broker. The Stock Broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per Rules, Regulations and Bye-Laws of the Exchanges/SEBI. The brokerage shall be paid in the manner intimated by the Stock Broker to the Client from time to time, including as a percentage of the value or the trade or as a flat fee or otherwise, together with the service taxes as may be applicable from time to time on the same. The Client further agrees to pay any applicable taxes that may be levied on the transaction.
- (ii) The Client expressly agrees and authorizes the Stock Broker to debit the charges, by whatsoever name called by, levied to his/her/its demat account maintained with Dhani Stocks Limited and/or also debit the bank charges for the realization of cheques/return of cheques, if any, to his/her/its account

**K. Investment Advice**

- The Member does not intend to give and the Constituent acknowledges that the Member shall not be liable to provide to the Constituent, any tax, legal or investment advice of any kind, or any advice or opinion with respect to the nature, potential value or suitability of any particular Commodity, trade, transaction, investment or investment strategy. The Constituent understands and agrees that in the event the Constituent receives or accesses any investment research report, any investment or other recommendations or advice from the Member, and / or any Business Associate(s) (or any employees or official of the Member or a Business Associate(s)) or on the Member's Web Site or that of any Business Associate(s), the same is on a no-liability, no guarantee, no solicitation and no obligation basis and any decision, action or omission thereon by the Constituent shall be entirely at the Constituent's risk and should be based solely on the Constituent's own verification of all the relevant facts, financial and circumstantial, a proper evaluation thereof and the Constituent's investment objectives. All investment and disinvestments decisions are based on the Client's own evaluation of financial circumstances and investment objectives. The Member shall not be responsible or liable for the same for any reason whatsoever.
- The Constituent also acknowledges that the Member employees, Business Associate(s) and/or any employee of any Business Associate(s) are not authorized to give any such advice and that the Constituent will not solicit or rely upon any such advice from the Member, a Business Associate(s) and/or any of the Employees of the Member and/or a Business Associate(s). The Constituent agrees that in the event of the Member, any employee or official of the Member, any Business Associate(s) and/ or any employee of any Business Associate(s) providing any information, recommendation or advice to the Constituent, the Constituent may act upon the same, at his sole risk and cost, and the Member shall not be liable or responsible for any loss or damage, whether actual or notional, direct or indirect, suffered by the Constituent for the same. In the event the client relies on the advice and/or any other information available on the website, he/she/it shall be solely responsible for the same.  
The Constituent agrees and undertakes to assume full responsibility for all its investment decisions and trades. The Member, its officers, directors, partners and employees, Business Associate(s), agents and affiliate(s) will have no liability with respect to any investment decisions, trade or losses of the Constituent.

#### **L. Transactions/Settlement:**

1. The Member shall have the right to retain and / or set-off and adjust any amounts payable to the Constituent against any present or future receivables from the Constituent (whether accrued or contingent) more particularly; the Member shall have the right to:
  - i. set off and adjust all funds, receivables, collateral / margins of the Constituent lying with the Member and / or any amounts payable to the Constituent against all present and future dues and receivables, of and amount payable by the Constituent, across segments and / or Exchanges for the settlement of dues and/or for margin / collateral requirements of the Constituent, without any prior reference to the Constituent.
  - ii. set off and adjust all Commodities of the Constituent lying with the Member or with the Designated Depository Participant across segments and/or Exchange for the settlement of the Constituent's Outstanding Positions in any segment or Exchange, without any prior reference to the Constituent.
  - iii. set-off and adjust all funds, receivables, collateral/margin of the Constituent lying with the Member and / or any amount payable to the Constituent as well as Commodities of the Constituent lying with the Member and / or Designated Depository Participant in relation to a particular Service, against all present and future dues and receivables of, and amounts payable by the Constituent in relation to any other Service or, for the settlement of the Constituent's Outstanding Positions in relation to any other Service, without prior any reference to the Constituent.
  - iv. Set-off all receivables, collateral / margins of the Constituent lying with the Member and / or any amount payable to the Constituent, as well as Commodities of the Constituent lying with the Member and / or the Designated Depository Participant in relation to a particular Service, against all present and future dues and receivables of and amounts payable by the Constituent to or through the Member in relation to any service (s) not covered by this General Terms and Conditions, that the Member may offer or make available (either itself or through any other Business Associate(s)) to the Constituent, without any prior reference to the Constituent.
  - v. Set-off and adjust all monies and/or Commodities owed to or through the Member, by the Constituent, against monies and/or Commodities owed to the Constituent by the Member, without any prior reference to the Constituent. This clause is irrevocable and shall continue to apply until all

the obligations and dues of, the Constituent are completely fulfilled and settled to the satisfaction of the Member.

**M. Trading Facilities:** The Constituent acknowledges that the Exchange(s) offer(s) electronic trading facilities, which are computer-based systems for order-routing, execution, matching registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption and/or failure. The Constituent's ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or Member, who may vary such limits. The Constituent understands & acknowledges that Member shall not be liable for any loss(es), cost(s), expense(s), etc., whether actual or notional, direct or indirect, incurred in respect of the above.

**N. Suspension or restriction of trading and pricing relationships:** The Constituent acknowledges that market conditions (e.g., illiquidity) and/or the operation of the rules of commodity markets (e.g. suspensions of trading in any contract or contact month because of price limits of "circuit breakers") may increase the risk of loss due to inability to liquidate/offset positions.

The Constituent acknowledges that all contracts culminating in delivery (which are not squared off and information for giving and taking delivery is given by the Constituents) would be transactions for purchase and sales between the Constituents inter-se and the Constituents would be personally liable to each other though the contract and relationships are governed and regulated by the Bye Laws, Rules and Regulations of the Exchange.

### **Miscellaneous**

The Client shall from time to time upon the request of the Stock Broker promptly and duly execute and deliver any and all such further instrument and documents that may be required by the Exchanges and/or regulatory authorities or as the Stock Broker may deem desirable for the purpose of obtaining the full benefit of this General Terms and Conditions and of the rights and powers granted under it.

Client's signature:  (13) \_\_\_\_\_

**ELECTRONIC CONTRACT NOTE (ECN) – DECLARATION (VOLUNTARY)****Appendix A**

To,  
 Dhani Stocks Limited  
 Account Opening Department,  
 Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana



Dear Sir/ Madam,

I, \_\_\_\_\_ a client with Member M/s Dhani Stocks Limited (DSL) of Multi Commodity Exchange of India Limited (MCX) & National Commodity & Derivatives Exchange Limited (NCDEX); BSE Limited and National Stock Exchange of India Ltd. undertake as follows –

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

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

(\* The email ID must be written in the own handwriting of the client.)

Client's signature	 (14)															
Client Name								PAN								
Address:																
Unique Client Code*																
Date	D	D	M	M	Y	Y	Y	Y	Place							
<b>Verification of the Client Signature done by –</b>																
Name of the designated officer of Dhani Stocks Limited																
Signature								Date	D	D	M	M	Y	Y	Y	Y

\* (to be filled by DSL)

Note: **(1)** To be signed by the account holder himself/herself, not to be signed by his/her attorney/authorized person etc.

**TRADING ACCOUNT ANNEXURES**

**Annexure – 1: AUTHORITY LETTER FOR MAINTAINING RUNNING ACCOUNT  
(Signing of this letter is optional)**

To,  
Dhani Stocks Limited  
Account Opening Department,  
Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana

**Sub: Authority letter for maintaining running account**

Dear Sir/Madam,

Please refer to the trading account opened with you, in my name for the purposes of dealing in Capital Markets (CM), Futures & Options (F&O), Currency Derivatives and Commodity Derivatives Segments on the stock exchange(s).

With reference to the same, I confirm that I am desirous of regularly dealing in CM, F&O, Currency Derivatives and Commodity Derivatives Segments on the stock exchange(s) and request you to maintain a running account for funds on my behalf without settling the account on settlement of each transaction on my behalf. I further request you to retain all amounts payable/receivable by me until specifically requested by me in writing to be settled or to be dealt with in any other manner.

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

I understand that settlement of my account would be done either once in a calendar quarter or once in a calendar month as specified by me.

I request you to settle funds in my account at least once in a calendar \_\_\_\_\_.

I agree to check my Statement of Account, sent to me by you and also available in my account on the Dhani Stocks website (<https://shubhweb.indiabulls.com/base/login>), which contains extracts from ledger for funds and displays all receipts/deliveries of funds.

Please further note that while I am entitled to revoke this authorization at any time, however, such revocation shall be subject to the date of physical receipt of revocation letter at your operations office to allow you to make necessary changes to handle my account without running account authorization

Thanking you.  
Yours Truly

Name: \_\_\_\_\_

Client ID: (To be filled by DSL) \_\_\_\_\_

Client's signature:  (15) \_\_\_\_\_


Date: \_\_\_\_\_

(Note: To be signed by the account holder himself/herself, not be to signed by his/her attorney/authorized person etc.) For any queries you can call us on our helpline no. 022-61446300 or mail us at [helpdesk@dhani.com](mailto:helpdesk@dhani.com)

## ANNEXURE 2 - LETTER OF AUTHORIZATION

We hereby authorize Dhani Stocks Limited (DSL) to act at its discretion for merging balances or transfer of balances kept under our various accounts held with NSE & BSE such as Futures & Options, Capital Market/Margin Trading Account and Capital Market/Cash Account with the same Exchange or with different Exchanges to nullify the debit in any other account belonging to us held with yourselves without taking any further instructions from us. We agree, empower and authorize DSL to merge the securities kept with DSL in various accounts in order to nullify the debit in any account belonging to us.

Thanking you.  
Yours Truly

Client's signature:  (16) \_\_\_\_\_


## ANNEXURE 3 - CLIENT UNDERTAKING FOR PREVENTION OF MONEY LAUNDERING

This is with regards to my Trading ID \_\_\_\_\_ with Dhani Stocks Limited (DSL). I hereby confirm that transactions related to sale, purchase and or dealing in securities (capital markets, cash and/or derivative s and/or currency segments) and/or commodities executed by me/us are for the purpose of investment of my own money and/or for the purpose of dealing in capital markets for our own interests.

I undertake that: I \_\_\_\_\_ (Resident of India/NRI/ Others) and was never convicted for any activity subjected to Indian Penal Code and/or any other such activity which is prohibited by the laws of the Land.

I am not a party to any agreement or arrangement, directly or indirectly, to facilitate settlement of my transactions with Dhani Stocks Limited (DSL) is a party of such agreement or arrangement.

I confirm that funds and/or securities used by us for settlement of transaction are assets earned by us through legal means in our own capacity and are not assets qualified under Prevention of Money Laundering Act, 2002 (PMLA).

Client's signature:  (17) \_\_\_\_\_

ANNEXURE – 4

**REQUEST LETTER FOR AVAILING OF THE “DOCUMENTS via ELECTONIC MODE FACILITY” (Non-Mandatory)**

To,  
Dhani Stocks Limited  
Account Opening Department,  
Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana

Dear Sir/Madam,

This is regarding the availing of the Documents via electronic mode “DEM” facility being provided by Dhani Stocks Limited (herein referred to as “DSL”) to its clients. I affirm that I have duly executed the Member-Client Agreement (“MCA”) with DSL.


DSL has offered and/or proposed to offer the issuance of Documents on Email. I am desirous of availing the DEM facility and in furtherance of the same, hereby grant my/our consent and affirmation to DSL to send documents including my statement of account etc. to my registered E-mail address.

I acknowledge and grant my consent to DSL for providing the DEM facility on the following terms and conditions:

1. I acknowledge and agree that non-receipt of bounced mail notification by DSL shall amount to delivery of the documents including my statement of account, trade confirmation(s), STT certificates, balance confirmation, etc. at my registered E-mail address
2. I confirm and agree that I will acknowledge document including my/our statement of account etc. so issued/sent electronically at my E-mail address without changing the subject line within 48 hours of the receipt of the DEM. In case I do not acknowledge the documents received by me on email by sending a reply mail within the stipulated time provided by DSL, the same shall be deemed to have been acknowledged.
3. I undertake that it shall be my sole responsibility to verify the content of the documents so sent on my registered email. In case there is any discrepancy in the DEM, I shall inform DSL of the same within the time stipulated on the document, as the case may be, by replying to the E-mail: [helpdesk@dhani.com](mailto:helpdesk@dhani.com) or to Customer Care at the above mentioned address. In case I do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me. However, DSL in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.
4. I undertake that it shall be my responsibility to inform Dhani Stocks Limited about any change in E-mail ID, Mobile No. or Phone No. etc. through a written request letter or through any other mode DSL may provide in the future. I affirm that DSL shall not be responsible for the non-receipt of the DEM due to any change in my E-mail address and if the same is not intimated by me to DSL and that DSL shall not take cognizance of out-of-office/out-of-station auto replies and I shall be deemed to have received such DEM.
5. I hereby understand that DSL may choose to provide the hard copy of the documents instead via electronic mode if the said facility is not available with DSL for a given period or a day
6. I declare and acknowledge my/our consent to abide by the above terms and conditions for availing DEM facilities.
7. Please further note that while I am entitled to revoke this authorization at any time however, such revocation shall be in accordance with the receipt of physical copy of revocation letter.

Thanking you,

Yours truly,

Client's signature:  (18)	Address: _____ _____
Client Code:	Email ID: _____
Name:	Mobile Number: _____
Date:	Place: _____

1. "I" shall be applicable where an individual is opening a Commodities Trading account.
2. To be signed by the account holder himself/herself, not to be signed by his/her attorney/authorized person etc.



**ANNEXURE – 5**  
**UPDATION OF PARTICIPANT CATEGORY IN COMMODITIES ACCOUNT**

To,  
Dhani Stocks Limited  
Account Opening Department,  
Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana

Dear Sir/Madam,

In accordance with the regulatory guidelines issued by SEBI and the Commodities Exchanges, the stock broker is required to update the Participant Category of its clients in its records. These details are required in order to maintain transparency in the commodities derivatives markets in respect to price signals as well as its correlation with the underlying physical market activities.

In this regards, I request you to update the same in our record and submit the same to exchange.

<b>Participant Category</b>	<b>Commodity(ies)* applicable</b>
<b>Farmer / FPOs</b> – it includes Farmers, Farmers' Cooperatives, Farmers' Producers Organisation (FPOs) and such entities of like nature.	
<b>Value Chain Participants (VCPs)</b> - it includes Processors, Commercial users as Dal and Flour Millers, Importer, Exporters, Physical Market Traders, Stockists, Cash & Carry Participants, Produces, SMEs/MSMEs, Wholesalers but excludes farmers/FPOs.	
<b>Proprietary traders</b> - it includes members of stock exchanges trading in their proprietary account	
<b>Domestic financial institutional investors</b> - it includes Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc. which are allowed to trade in commodity derivatives	
<b>Foreign Participants</b> – it includes participants such as Eligible Foreign Entities, NRIs etc. which are allowed to trade in commodity derivatives markets	
<b>Others:</b> it includes all other participants which cannot be classified in the above categories.	

\* **Type(s) of Commodity(ies) applicable:** Aluminium; Brass; Cardamom; Castor seed; Copper; Cotton; CPO; Crude Oil; Gold; Lead; Mentha Oil; Natural Gas; Nickel; Pepper; RBDPMOLEIN; Silver and Zinc

Client's signature:  (19) \_\_\_\_\_

**ANNEXURE – 6**

**FAMILY DECLARATION – EMAIL / MOBILE NUMBER UPDATION IN FAMILY ACCOUNTS**

*(Compulsory incase having same email id and/or mobile number in more than one account held with Dhani Stocks Ltd)*

To,  
Dhani Stocks Limited  
Account Opening Department,  
Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana

Dear Sir/Madam,

Reference: Trading Account Number \_\_\_\_\_ and Demat Account Number \_\_\_\_\_ held with Dhani Stocks Limited.

I \_\_\_\_\_ would like to receive Email/SMS alerts provided by the Exchange/Depository / DP.

I and my family members hereby request that the Email ID and Mobile Number mentioned in the KYC page shall be considered in your records for the purpose of receiving communication (Email / SMS alerts) from Dhani Stocks Limited or the Exchange/Depository/DP.


Any communication relating to my/our trading and demat accounts should be sent to mobile number and email id mentioned on the KYC page. This facility shall be provided to us as an exception for my/our convenience of receiving transaction details at a single mobile number and e-mail id. I/We understand that for the purpose of availing the above facility by the family members, "family" means self, spouse, dependent children and dependent parents.

My relationship with the holder of the Email ID and Mobile Number mentioned in the KYC page is as below:

- Self                       Spouse                       Dependent Child                       Dependent Parent

Master PAN*										
-------------	--	--	--	--	--	--	--	--	--	--

*\* Applicable if the relationship is other than Self. PAN of the individual holding the Email ID and / or Mobile Number mentioned in the KYC page is to be provided.*

Client's signature:  (20) \_\_\_\_\_

Note: on successful registration the Exchange would seek confirmation by way of Email/SMS which needs to be responded to get the Email/SMS alerts.

**Demat Debit and Pledge Instruction (DDPI)**

**(Note: Execution of Demat Debit and Pledge Instruction (DDPI) is Optional & not mandatory)**

Demat account number: \_\_\_\_\_

Date: \_\_\_\_\_

I/We (First Holder / Authorized Person), .....  
 ..... S/o, D/o,  
 W/o..... Nationality Indian, residing  
 at.....




I/We (Second Holder / Authorized Person) .....  
 .....S/o, D/o,  
 W/o..... Nationality Indian, residing at

I/We (Third Holder / Authorized Person), .....  
 ..... S/o, D/o,  
 W/o..... Nationality Indian, residing at

an individual / Company (hereinafter referred to as the “**Client**”) do hereby explicitly authorize M/s Dhani Stocks Limited (hereinafter referred to as “DSL”), a company incorporated under The Companies Act, 1956 in Delhi and a Trading cum Clearing Member (TCM) of the National Stock Exchange of India Limited (hereinafter referred to as “NSE”) and BSE Limited (hereinafter referred to as “BSE”) (hereinafter referred to as the “Exchanges”), also a Depository Participant (DP) of Central Depository Services Limited (hereinafter referred to as “CDSL”) and National Securities Depository Limited (hereinafter referred to as “NSDL”) and operating for the purpose of this Demat Debit & Pledge Instructions (DDPI), from its Registered Office in India situated at 1/1 E, First Floor, East Patel Nagar, New Delhi - 110008, acting through any of its Directors and/or officers duly authorized by it to access my/our Beneficiary Account for the limited purpose and authority on my/our behalf and at my/our risk and costs, to cause to be done, all and/or any of the Instruction as contained in the attached **Annexure-A**, which shall form part and parcel of this **DDPI**.

The authority hereby conferred in favor of DSL may be revoked by me/us at any time without notice; However DSL shall act on such revocation sent by me/us to DSL in writing only on receipt of the said notice, at Dhani Stocks Limited, DP Department, Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana. The said notice shall be a duly signed original written communication & DSL shall give effect to the said notice of revocation only after all monies, amounts, dues, charges, expenses, etc. by whatever name called, payable by me/us to DSL have been fully and duly paid by me/us.













This **DDPI** shall be governed by, and construed in accordance with, the laws of India and shall be subject to the exclusive jurisdiction of the Courts in Delhi.

	Sole / First Holder	Second Holder	Third Holder
Client's signature	 (21)	 (21)	 (21)

**Annexure-A**

Demat Account Number	
Name of the account holder(s)	1. 2. 3.

**Demat Debit and Pledge Instruction**

S.No.	Purpose	Signature of Client
1	Transfer of securities held in my the beneficial owner accounts towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me on the Stock Exchange(s) through DSL	 (22) Sole/First Holder
		 (22) Second Holder
		 (22) Third Holder
2	Pledging / re-pledging of securities in favour of DSL, trading member (TM) / clearing member (CM), for the purpose of meeting my margin requirements in connection with the trades executed by me on the Stock Exchange(s).	 (23) Sole/First Holder
		 (23) Second Holder
		 (23) Third Holder
3	Mutual Fund transactions being executed by me on Stock Exchange(s) order entry platforms	 (24) Sole/First Holder
		 (24) Second Holder
		 (24) Third Holder
4	Tendering shares in open offers through Stock Exchange platforms	 (25) Sole/First Holder
		 (25) Second Holder
		 (25) Third Holder

### Annexure - Option for issuance of DIS booklet

*(To be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager)*

<b>DP ID</b>										<b>Client ID</b>							
--------------	--	--	--	--	--	--	--	--	--	------------------	--	--	--	--	--	--	--

<b>Name(s) of account holder(s)</b>	
Sole/ First holder	
Second holder	
Third holder	

**Option for Issue of DIS booklet (please tick any one)**

- Option 1: I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening
- Option 2: I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date

Beneficial Owner	Name	Signature with date								
Sole/ First holder		(26)								
Second holder		(26)								
Third holder		(26)								
Date	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; border: 1px solid black; text-align: center;">D</td> <td style="width: 10%; border: 1px solid black; text-align: center;">D</td> <td style="width: 10%; border: 1px solid black; text-align: center;">M</td> <td style="width: 10%; border: 1px solid black; text-align: center;">M</td> <td style="width: 10%; border: 1px solid black; text-align: center;">Y</td> <td style="width: 10%; border: 1px solid black; text-align: center;">Y</td> <td style="width: 10%; border: 1px solid black; text-align: center;">Y</td> <td style="width: 10%; border: 1px solid black; text-align: center;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y	
D	D	M	M	Y	Y	Y	Y			

## Investor Charter – Stock Brokers

### 1. Vision statement for Investors

#### Mission

- a. To provide transparent, equitable and reliable markets with timely and accurate information dissemination for investors.
- b. To provide the highest standards of investor education, investor awareness and investor protection and timely services.

#### Vision

To provide a safe, equitable, transparent, and trusted platform for investors to participate across asset classes with highest standards of integrity for investors

### 2. Business transacted by the Exchange with investors:

The Exchange facilitates various products for investors to participate across asset classes viz Equity, Commodities, Derivatives, Debt, Mutual Funds, Government securities etc. Details available on the link–

- NSE: <https://www.nseindia.com/products-services>
- BSE: <https://www.bseindia.com/markets.html>
- MCX: <https://www.mcxindia.com/products/>

### 3. Services provided by the Exchanges to investors:

Exchange provides various services to investors electronically through its online platform and physically through the dedicated common Investor Service Centers (ISC) set for this purpose. Details available on the link

- NSE: <https://t.ly/fITac>
- BSE: <https://www.bseindia.com/investor.html>  
The information on companies listed on Exchange: <https://www.bseindia.com/corporates.html>
- MCX: <https://t.ly/wmDof>

### 4. Grievance redressal mechanism:

- a. Mode of filing the complaints – Complaints can be lodged on the Exchange in the following ways:
  - i. Through SCORES 2.0 (a web based centralized grievance redressal system of SEBI) [<https://scores.sebi.gov.in>]  
**Two Level Review:**
    - a. First review done by Exchange
    - b. Second review done by SEBI
  - ii. Through Respective Exchange’s web portal dedicated for the filing of complaint
    1. NSE: <https://www.nseindia.com/invest/investor-charter>
    2. BSE: <https://bsecrs.bseindia.com/ecomplaint/frmlInvestorHome.aspx>
    3. MCX: <https://www.mcxindia.com/Investor-Services/grievances/address-of-the-igrc-centres>
  - iii. Emails to designated email IDs of Exchange
    1. NSE: <https://www.nseindia.com/contact/investor-services-centre>
    2. BSE:
      - a. For complaints against Trading Members: [https://www.bseindia.com/static/investors/cac\\_tm.aspx](https://www.bseindia.com/static/investors/cac_tm.aspx)
      - b. For complaints against Listed Companies: [https://www.bseindia.com/static/investors/Complaint\\_against\\_Companies.aspx](https://www.bseindia.com/static/investors/Complaint_against_Companies.aspx)
    3. MCX: <https://www.mcxindia.com/Investor-Services/grievances/address-of-the-igrc-centres>
  - iv. Through SMARTODR (<https://smartodr.in/login>) dedicated for the filing of complaint
- b. Regarding documents required for complaint resolution, please refer to link –
  - i. NSE:

<https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Documents%20to%20be%20submitted%20by%20Parties.pdf>

ii. BSE: Documents required for complaint resolution:

- a) Complete Account Opening Kit
- b) Contract notes
- c) Ledger statement
- d) Bank statement
- e) Demat transaction statement
- f) Any other document in support of claim

Multi-level dispute resolution mechanism available at the Exchange:

- a. Amicable resolution at Exchange level
- b. If no amicable resolution arrived at, matter is referred to Investor Grievance Redressal Committee who are independent entities set up for the compliant resolution.

[https://www.bseindia.com/static/investors/cac\\_tm.aspx](https://www.bseindia.com/static/investors/cac_tm.aspx)

- c. Arbitration proceedings
- d. Appellate Arbitration proceedings

[https://www.bseindia.com/static/investors/arbitration\\_mechanism.aspx](https://www.bseindia.com/static/investors/arbitration_mechanism.aspx)

iii. MCX: Documents required for complaint resolution:

- a) Complete Account Opening Kit
- b) Contract notes
- c) Ledger statement
- d) Bank statement
- e) Demat transaction statement
- f) Any other document in support of claim

c. Process flow for Complaint Resolution Process through Scores 2.0

Refer to [Schedule III of the SEBI Circular](#) dated September 20, 2023

Online Dispute Resolution (ODR)

1.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration.  <a href="#">[SMARTODR]</a>
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2.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ul style="list-style-type: none"> <li>➤ Investor to approach Market Participant for redressal of complaint</li> <li>➤ If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options: May escalate the complaint on SEBI SCORES portal. (In this scenario the above steps shall prevail) May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> <li>➤ Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days.</li> <li>➤ If the matter could not be amicably resolved, then to the matter shall be referred for conciliation.</li> <li>➤ During the conciliation process, the conciliator will endeavour for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.</li> <li>➤ If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> <li>➤ The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.</li> <li>➤ If the parties are not satisfied with the arbitration award, option to file u/s 34 of Arbitration and Conciliation Act, 1996</li> </ul>
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5. Rights and Obligations of investors:

a. Investor has a Right to:

- NSE: [https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Investor\\_Rights.pdf](https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Investor_Rights.pdf)
- BSE: [https://www.bseindia.com/static/investors/Rights\\_Obligations\\_of\\_Investors.aspx](https://www.bseindia.com/static/investors/Rights_Obligations_of_Investors.aspx)
- MCX: [https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/rights-of-the-investor.pdf?sfvrsn=8a083191\\_2](https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/rights-of-the-investor.pdf?sfvrsn=8a083191_2)
- Get a copy of KYC and other documents executed.
- Get Unique Client Code (UCC) allotted.
- Place order on complying with the norms agreed to with the Trading Member (TM).
- Get best price for trade execution.
- Receive various SMS, emails and information from TMs regarding trade confirmations.
- Get Contract notes for trades executed from the TM in the specified format given by the Exchange showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of your trades.
- Receive funds and securities/commodities on time within 24 hours from payout.
- Receive statement of accounts from TM at least once in a quarter/ month from your TM.
- Settlement of accounts as per terms of agreement.
- Get the details of Principal Officer/Compliance Officer of the TM.
- Get information of all the businesses done by the TM.
- Receive all benefits/material information declared for the investors by the Company.
- Prompt services from the company such as transfers, dematerialization, Sub-divisions and consolidation of holdings in the company.
- As an equity holder have a right to subscribe to further issue of capital by the Company.
- Approach nearest Common Investor Service Centre's for lodging a complaint.
- Complaint and avail dispute resolution mechanism against TM or listed company.
- Raise queries on excess brokerage and other charges charged by TMs.
- File arbitration against TMs for disputes.
- Challenge the arbitration award before court of law.
- Privacy and Confidentiality.
- Fair & True Advertisement – Potential Risks to be clarified.



- Exit from financial product or service.
- Receive clear guidance and caution notice when dealing in Complex and High-Risk Financial Products and Services.
- Provide feedback on the financial products and service used.

b. Investor obligations/ Responsibilities

- NSE: [https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Investor\\_Obligations.pdf](https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Investor_Obligations.pdf)
- BSE: [https://www.bseindia.com/static/investors/Rights\\_Obligations\\_of\\_Investors.aspx](https://www.bseindia.com/static/investors/Rights_Obligations_of_Investors.aspx)
- MCX: [https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/obligations-of-the-investor.pdf?sfvrsn=99083191\\_2](https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/obligations-of-the-investor.pdf?sfvrsn=99083191_2)

- Deal with a SEBI registered Stock Brokers and Depository Participants for opening trading account and demat account.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (pre- printed with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- Always mention the details like ISIN, number of securities accurately.
- Inform any change in information for updation of KYC and obtain confirmation of updation in the system.
- Regularly verify balances and transaction/ demat statement and reconcile with trades / transactions.
- Appoint nominee(s) to facilitate heirs.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits

6. Guidance pertaining to special circumstances related to market activities: Default of Trading Members (TMs)

(1) When a TMs defaults, the Exchange carries out the following steps for benefit of investor:

- Dissemination on Exchange website with regard to default of the TM.
- Issue of Public Notice informing declaration of default by a TM and inviting claims within specified period.
- Intimation to clients of defaulter TMs via Emails and SMS for facilitating lodging of claims within specified period

(2) Following information made available on Exchange Website for information of Investors

NSE: <https://www.nseindia.com/invest/investor-charter>

BSE: [https://www.bseindia.com/static/investors/investor\\_charter.aspx](https://www.bseindia.com/static/investors/investor_charter.aspx)

MCX: <https://www.mcxindia.com/Investor-Services/grievances/client-awareness/investors-charter>

- Norms for eligibility of claims for compensation from IPF.
- FAQ on processing of investors' claims against defaulter TM.
- Form for lodging claim against defaulter TM.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of default by TMs
- Provision to check online status of claims on Exchange Website.
- Claim processing policy against Defaulter/Expelled TMs.
- List of Defaulter/Expelled TMs and public notice issued

(3) Standard Operating Procedure (SOP) for Handling of Claims of Investors in the Cases of Default by TMs (excluding Commodity Derivatives Exchanges)

**Against Stockbrokers**

Sr. No.	Action	Timeline
1.	Disablement of the TM	T day
2.	Information to investors about disablement of the TM on website and through SMS and email	T+1 day
3.	Pre-filled forms to be sent to clients providing information regarding balances with the TM (only in case of SOP trigger)	T+15 days

Sr. No.	Action	Timeline
4.	Claim lodgement Clients to fill the claim form and provide the supporting documents	T+ 75 days However, client can lodge claims till the end of 3 years from the date of the public notice provided post default
5.	Declaration of Default by the TM	T+120 days
6.	Information to investors about default of TM on website, through SMS, email and newspapers.	Within 3 working days from the date of declaration of defaulter
7.	Processing, auditing, and settlement of claims	Within 60 days of receipt of the claim form from the clients post declaration of default and T+135 days where prefilled forms are received.
8.	Request for review of the claim by client	Within 90 days of receipt of intimation of the decision of the IPFT from the stock exchange
9.	Processing, auditing, and settlement of review claims	Within 60 days of receipt of review application.
10.	Request for 2 <sup>nd</sup> review of the claim by client	Within 90 days of receipt of intimation of the decision of the IPFT from the stock exchange
11.	Processing, auditing, and settlement of review claims	Within 60 days of receipt of review application.

7. Dos and Don'ts - Advisory for Investors

a) Do's of Investing: Please refer to the link

- NSE: [https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Do%27s\\_of\\_Investing.pdf](https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Do%27s_of_Investing.pdf)
- BSE: <https://www.bseindia.com/static/investors/invdosdonot.aspx>
- MCX: [https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/do's-of-investing.pdf?sfvrsn=84083191\\_2](https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/do's-of-investing.pdf?sfvrsn=84083191_2)

b) Do's for Grievance Redressal: Please refer to the link [link provided by stock exchanges]

- NSE: [https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Do%E2%80%99s\\_for\\_Grievance\\_Redressal.pdf](https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Do%E2%80%99s_for_Grievance_Redressal.pdf)
- BSE: <https://www.bseindia.com/static/investors/invdosdonot.aspx>
- MCX: [https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/do's-for-grievance-redressal.pdf?sfvrsn=8f083191\\_2](https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/do's-for-grievance-redressal.pdf?sfvrsn=8f083191_2)

c) Don'ts of Investing: Please refer to the link [link provided by stock exchanges]

- NSE: [https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Don%E2%80%99ts\\_of\\_Investing.pdf](https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Don%E2%80%99ts_of_Investing.pdf)
- BSE: <https://www.bseindia.com/static/investors/invdosdonot.aspx>
- MCX: [https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/don'ts-of-investing.pdf?sfvrsn=b5083191\\_2](https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/don'ts-of-investing.pdf?sfvrsn=b5083191_2)

8. Code of Conduct for Stock Exchanges [link to be provided by the Exchanges]

NSE: [https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Code%20of%20Conduct%20for%20Stock%20Exchanges\\_0.pdf](https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Code%20of%20Conduct%20for%20Stock%20Exchanges_0.pdf)

BSE: NA

MCX: [https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/code-of-conduct-for-stock-exchanges.pdf?sfvrsn=b8298090\\_2](https://www.mcxindia.com/docs/default-source/investor-grievance-arbitration/investors-charter/code-of-conduct-for-stock-exchanges.pdf?sfvrsn=b8298090_2)

A Stock Exchange shall:

- (a) always abide by the provisions of the Act, Securities and Exchange Board of India Act 1992, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
- (b) adopt appropriate due diligence measures.
- (c) take effective measures to ensure implementation of proper risk management framework and good governance practices.
- (d) take appropriate measures towards investor protection and education of investors.
- (e) treat all its applicants or members in a fair and transparent manner.
- (f) promptly inform the Board of violations of the provisions of the Act, Securities and Exchange Board of India Act 1992, rules, regulations, circulars, guidelines or any other directions by any of its members or issuer.
- (g) take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of stock exchange's systems and the securities market.
- (h) endeavor for introduction of best business practices amongst itself and its members.
- (i) act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
- (j) not indulge in unfair competition, which is likely to harm the interests of any other Exchange, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
- (k) segregate roles and responsibilities of key management personnel within the stock exchange including:
  - a. Clearly mapping legal and regulatory duties to the concerned position
  - b. Defining delegation of powers to each position
  - c. Assigning regulatory, risk management and compliance aspects to business and support teams
- (l) be responsible for the acts or omissions of its employees in respect of the conduct of its business.
- (m) monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

### **Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)**

#### **Default of TM/CM**

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

**Level 3** – The complaint not redressed at Stock Broker / Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

#### **Grievances Redressal Mechanism of Dhani Stocks Limited**

Grievance redressal policy of Dhani Stocks Limited (DSL) aims at ensuing prompt redressal of customer complaints and grievances.

A customer may lodge a complaint through either of the following means - in-person, by phone, mail/post or through electronic means (email/internet). All complaints will be recorded by DSL in Microsoft CRM (Customer Relationship Management software).

1. Walk-in customers may use complaint/visitor's book kept at Gurgaon HO to provide any feedback/suggestions for improvement in our products and services.
2. Complaint can also be lodged through
  - a. **Phone** - by calling our customer care desk on 022-61446300. (Whenever a complaint call is received, sender receives a reply/mail confirming acknowledgement of his complaint.)
  - b. **Post (Letter)** - by sending request in hard copy to Dhani Stocks Limited, Plot No. 108, 5th Floor, IT Park, Phase I, Udyog Vihar, Gurugram - 122016, Haryana.
  - c. **E-mail** – complaints can also be lodged via email by sending request to [grievances\\_dsl@dhani.com](mailto:grievances_dsl@dhani.com)

**Note:**

- Complaints received by e-mail shall be acknowledged by e-mail.
- Whenever a complaint call is received, sender receives a reply back confirming acknowledgement of his complaint.

**Time frame for resolution of complaints:**

Complaints received are to be seen in the right perspective because these indirectly reveal a weak spot in the working of the Company. Complaints received would be analysed from all possible angles. Complaint should be resolved maximum within 30 working days from the date of receipt. Departments/officials dealing with the customer complaints are required to strictly adhere to the same. Periodical MIS on complaint is generated and circulated amongst the senior officials of the Company for their knowledge and further instructions, if any.

In case customer is unhappy with the service or redressal provided by the DSL, he/she can also approach Exchanges / Depositories / SEBI for redressal.

Exchange	Web Address	Contact Number	Email ID
NSE	<a href="http://www.nseindia.com">www.nseindia.com</a>	1800 266 0058	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>
BSE	<a href="http://www.bseindia.com">www.bseindia.com</a>	022-22728517	<a href="mailto:is@bseindia.com">is@bseindia.com</a>
MCX	<a href="http://www.mcxindia.com">www.mcxindia.com</a>	022-66494070	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>
NCDEX	<a href="http://www.ncdex.com">www.ncdex.com</a>	022-66406084	<a href="mailto:ig@ncdex.com">ig@ncdex.com</a>
Depository	Web Address	Contact Number	Email ID
NSDL	<a href="http://www.nsdl.co.in">www.nsdl.co.in</a>	022-24994200	<a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a>
CDSL	<a href="http://www.cdslindia.com">www.cdslindia.com</a>	022-23058663 / 1800 200 5533	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>

Customer can also lodge his/her grievances with SEBI at <http://scores.gov.in> .

Client's signature: ✍ (27) \_\_\_\_\_

## INVESTOR CHARTER FOR DEPOSITORIES AND DEPOSITORY PARTICIPANTS

### 1. Vision

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

### 2. Mission

- To hold securities of investors in de materialized form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

### 3. **Details of business transacted by the Depository and Depository Participant (DP)**

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Detail of NSDL DPs available on the link [<https://nsdl.co.in/dpsch.php>] & CDSL DPs on the link [<https://www.cdslindia.com/DP/dplist.aspx>].

### 4. **Description of services provided by the Depository through Depository Participants (DP) to investors**

#### 1. Basic Services

Sr. no.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion/De-statementization	5 days
4.	Re-conversion/Re-statementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities. For T+0 day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day. Note: 'T' refers 'Trade Day'

#### 2. **Depositories provide special services like pledge, hypothecation, internet-based services etc. in addition to their core services and these include**

Sr. no.	Type of Activity /Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Value Added Services	Depositories also provide value added services such as a. <a href="#">Basic Services Demat Account</a>

		<ul style="list-style-type: none"> <li>b. Transposition cum dematerialization</li> <li>c. Linkages with Clearing System</li> <li>d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.</li> </ul> <p>NSDL: <a href="https://nsdl.co.in/publications/investor_charter.php">https://nsdl.co.in/publications/investor_charter.php</a> CDSL: <a href="https://www.cdslindia.com/Investors/InvestorCharter.html">https://www.cdslindia.com/Investors/InvestorCharter.html</a></p>
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions).
3.	Digitalization of services provided by the depositories	<p>Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:</p> <ul style="list-style-type: none"> <li>a. E-account opening</li> <li>b. Online instructions for execution</li> <li>c. e-DIS / Demat Gateway</li> <li>d. e-CAS facility</li> <li>e. Miscellaneous services</li> </ul> <p>NSDL: <a href="https://nsdl.co.in/publications/investor_charter.php">https://nsdl.co.in/publications/investor_charter.php</a> CDSL: <a href="https://www.cdslindia.com/Investors/InvestorCharter.html">https://www.cdslindia.com/Investors/InvestorCharter.html</a></p>

## 5. Details of Grievance Redressal Mechanism

### (1) The Process of investor grievance redressal

1	Investor Complaint / Grievances	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways:</p> <p>Electronic mode - SCORES 2.0 (a web based centralized grievance redressal system of SEBI) [<a href="https://scores.sebi.gov.in/">https://scores.sebi.gov.in/</a>]</p> <p>Two Level Review for complaint/grievance against DP:</p> <ul style="list-style-type: none"> <li>a. First review done by Designated Body</li> <li>b. Second review done by SEBI <ul style="list-style-type: none"> <li>(i) Respective Depository's web portal dedicated for the filing of compliant <a href="https://investor.nsdl.com/portal/en/home">https://investor.nsdl.com/portal/en/home</a> (for NSDL) &amp; <a href="https://www.cdslindia.com/Footer/grievances.aspx">https://www.cdslindia.com/Footer/grievances.aspx</a> (For CDSL)</li> <li>(ii) Emails to designated email IDs of Depository [<a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a>] (for NSDL) &amp; [<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>] (for CDSL)</li> </ul> </li> <li>c. Offline mode: <p>NSDL - <a href="#">[Download Form]</a></p> <p>CDSL - Investors can send physical letters to CDSL on our registered office address.</p> </li> </ul> <p>The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.</p>
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2	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaint/grievance on SMARTODR platform for its resolution through by online conciliation or arbitration.  SMART ODR – <a href="https://smartodr.in/login">https://smartodr.in/login</a> OR <a href="https://smartodr.in/register">https://smartodr.in/register</a>
3	Steps to be followed in ODR for Review, Conciliation & Arbitration	<ul style="list-style-type: none"> <li>• Investor to approach Market Participant for redressal of complaint</li> <li>• If an investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES portal.</li> <li>• Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> <li>• Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days.</li> <li>• If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation.</li> <li>• During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator.</li> <li>• If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> <li>• The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.</li> </ul>

(2) Illustration of New Grievance Redressal System:

NSDL: [Click here](#) for flow-chart of New Grievance Redressal System.

#### 6. Guidance pertaining to special circumstances related to market activities:

##### Termination of the Depository Participant

Sr. No.	Type of special circumstances	Timelines for the Activity/Service
1.	<ul style="list-style-type: none"> <li>▪ Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.</li> <li>▪ Participant surrenders the participation by its own wish.</li> </ul>	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

7. **Dos and Don'ts for Investors:** Please refer to the link:

NSDL: [https://nsdl.co.in/publications/investor\\_charter.php](https://nsdl.co.in/publications/investor_charter.php)

CDSL: <https://www.cdslindia.com/Investors/InvestorCharter.html>

8. **Rights of investors:** Please refer to the link:

NSDL: [https://nsdl.co.in/publications/investor\\_charter.php](https://nsdl.co.in/publications/investor_charter.php)

CDSL: <https://www.cdslindia.com/Investors/InvestorCharter.html>

9. **Responsibilities of Investors:** Please refer to the link:

NSDL: [https://nsdl.co.in/publications/investor\\_charter.php](https://nsdl.co.in/publications/investor_charter.php)

CDSL: <https://www.cdslindia.com/Investors/InvestorCharter.html>

#### 10. Code of Conduct for Depositories (Part D of Third Schedule of SEBI (D & P) Regulations, 2018)

NSDL: [https://nsdl.co.in/publications/investor\\_charter.php](https://nsdl.co.in/publications/investor_charter.php)

CDSL: <https://www.cdslindia.com/Investors/InvestorCharter.html>

**11. Code of Conduct for Participants (Part A of Third Schedule of SEBI (D & P) Regulations, 2018)**

NSDL: [https://nsdl.co.in/publications/investor\\_charter.php](https://nsdl.co.in/publications/investor_charter.php)

CDSL: <https://www.cdslindia.com/Investors/InvestorCharter.html>

**12. IPF Policy**




NSDL: <https://nsdl.co.in/downloadables/pdf/SOP - Procedure for claims on NSDL website.pdf>

CDSL: <https://www.cdslindia.com/downloads/Investors/FAQs/CDSL%20IPF%20Policy.pdf>

**13. FAQ – Processing of Investor claims**

NSDL: <https://nsdl.co.in/downloadables/word/FAQ - Procdure for processing Investors Claim.docx>

CDSL: <https://www.cdslindia.com/downloads/Investors/FAQs/CDSL%20IPF%20Policy%20FAQ.pdf>

Beneficial Owner	Name	Signature
Sole/ First holder		 (28)
Second holder		 (28)
Third holder		 (28)



## Policy for Voluntary Freezing / Blocking of Trading Account - Dhani Stocks Limited

**Introduction:** The policy for voluntary freezing/blocking of trading account has been designed in accordance with the guidelines prescribed by SEBI vide circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 on the subject "Ease of Doing Investments by Investors-Facility of voluntary freezing/ blocking of Trading Accounts by Clients" and the subsequent guidelines prescribed by the stock exchanges (NSE vide Circular no. NSE/INSP/61529 Dated April 08, 2024 and BSE vide circular no. 20240408-12 dated April 8, 2024) on the subject "Framework for Trading Members to provide the facility of voluntary freezing/blocking the online access of trading account to their clients".

**Purpose:** The procedures/details mentioned in this document are in accordance with the guidelines mentioned in the above mentioned SEBI & exchange circulars. These guidelines aim to facilitate the freezing/blocking of the client's online trading account (based on request received from the client) incase any suspicious activity is noticed by the client in his/her/its account.

**Scope:** This policy is applicable to all clients who have opened their trading account with Dhani Stocks Limited (DSL). However, it is pertinent to note that –

1. Freezing/blocking is only for the online access to the client's trading account and there shall be no restrictions on DSL to carry out any Risk Management activities
2. The request for freezing/ blocking does not constitute request for marking the client's Unique Client Code ( UCC) as inactive in the Exchange records.

**Procedure to Freeze/Block the Online Trading Account:** This policy has been framed by DSL that outlines the modus operandi to help curb client's risk and thereby forms part of DSL's Risk Management Policy.

The client may request for voluntary freezing/blocking of online access to his/her trading account through any of the modes mentioned below. All efforts will be taken by DSL personnel to fulfil the client's request in the below timeline –


1. **Timelines:** DSL intends to follow below timelines to freeze/block the online trading account in accordance with the request received from the client.
  - a. **Request received during the trading hours & within 15 minutes before start of trading** - within 15 minutes.
  - b. **Request received after the trading hours & 15 minutes before start of trading** - before the start of the next trading session.
2. **Modes:** Clients can place a request to report any suspicious activity or to voluntarily freeze their trading account via the following modes–
  - a. By sending an email from his/her/its registered email id to [stoptrade@dhani.com](mailto:stoptrade@dhani.com)
  - b. By calling on customer care desk at 022-61446300 from their registered mobile number during normal business hour.  
**Note:** stringent identity verification will be conducted before considering any client's block requests. Hence, all clients are requested to keep all their Personal Identification Information (such as PAN, DOB, Trading ID, Demat ID etc.) handy to facilitate smooth and fast processing of requests.
3. While sending email to report any suspicious activity and simultaneously freezing of their trading account, clients are requested to provide detailed information about the suspicious activity that they have noticed in the said account.
4. **Process:** DSL shall follow the below process for the requests received through any mode of communication mentioned above –
  - a. Verify whether request is received from the registered mobile number/e-mail ID of the client.
    - If the request is received from another mobile number and/or email id (other than the registered email id/mobile number), proper verification of the client shall be done.
    - During the verification process, DSL personnel would ask the client/s a series of questions (basic checks) to understand the gravity of the request received. These questions would relate to but will not be limited to the existing positions in the client's account, inadvertent sharing of login credentials, OTPs, orders, devices used for trading, etc.

- b. Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
  - c. Send the acknowledgement to the client's registered email ID and/or mobile number stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
  - d. In addition to the above, details of open positions (if any) to also be communicated to the client on his/her/its registered email ID along with contract expiry information. This shall help to eliminate unwanted the risk of unwanted delivery settlement.
5. Clients are requested to make an informed decision based on these suggestions and communicate their decisions clearly and unequivocally such that DSL personnel can proceed with blocking/freezing of client's trading account.

**Procedure to Unfreeze/Unblock the Online Trading Account:** Clients can unfreeze/unblock their online trading accounts by raising a request via any of the modes –

- a. By sending an email from his/her/its registered email id to [stoptrade@dhani.com](mailto:stoptrade@dhani.com)
- b. By calling on customer care desk at 022-61446300 from their registered mobile number.

In order to unfreeze/unblock the trading account, the client would need to undergo stringent due diligence checks including validation of reactivation request and/or mandatory re-KYC.

Client Signature:  (29) \_\_\_\_\_

## Most Important Terms and Conditions - MITC

Please find below Most Important Terms and Conditions pertaining to the trading account to be held by your good-self with Dhani Stocks Limited.

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

Client Signature:  (30) \_\_\_\_\_


# Dhani Stocks Limited

## CONSENT/ACKNOWLEDGEMENT

I/We acknowledge and declare that I/We have received, read and understood and agree to the contents of -

### Trading Account:

- a. Rights and Obligations of Stock brokers, Sub brokers and Clients - Equity Segment
- b. Risk Disclosure Document (RDD) - Equity Segment
- c. Policies and Procedures -Equity and Commodities Segment
- d. Guidance note -Equity Segment
- e. Rights And Obligations Of Members, Authorized Persons And Clients As Prescribed By SEBI and Commodity Exchanges
- f. Uniform Risk Disclosure Document (RDD) – Commodities Segment
- g. Guidance note -Do's and Don'ts for trading on exchange - Commodities Segment
- h. Terms and Conditions between Client & Dhani Stocks Limited


Client Signature:  (31) \_\_\_\_\_

Client Name: \_\_\_\_\_

Client Code: \_\_\_\_\_  
(To be filled by DSL)

### Demat Account:

- a. Rights and Obligations of Beneficial Owner & Depository Participant as prescribed by SEBI and Depositories
- b. Guidance note - Do's and Don'ts for Depository
- c. Terms & Conditions for receiving SMS alerts from CDSL
- d. Terms & Conditions for receiving SMS alerts from NSDL

	SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
<b>NAME</b>			
<b>Signature</b>  (32)			
<b>Demat Account No.</b> (to be filled by DSL)			

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