

Account detail's Addition / Modification /Re-Activation/ Deletion Request Form

(Please fill all the details in **BLOCK LETTERS** in English)

Date: / /

App. No.		DEMAT ID	12081000	CLIENT ID	0000					TRADING CODE	
1 st HOLDER NAME								PAN NO.			
2 nd HOLDER NAME								PAN NO.			
3 rd HOLDER NAME								PAN NO.			

I/We request you to make the following **Additions / Modifications /Re-activation / Deletion** to my/our above mentioned account.

In case of **re-activation**, Change in existing details with Khandwala Securities Limited () **YES** () **NO**

(If YES, then kindly submit the latest relevant documents to update the same in our records)

Please select (✓) the fields for which you want addition / modification / re-activation / deletion in your above account(s)							
() ADDITION		() MODIFICATION		() RE-ACTIVATION		() DELETION	
() Bank	() Address () Correspondence () Permanent			() Demat	() Contact No.	() Signature	() Email id
	() Income Details						

I/We request to carry out the change of address / signature in the () Demat Account () Trading account () CKYC

Sr. No.	Mention details as Bank, Address, Demat A/c, Contact No., Email Id, Signature, Income details	Existing Detail's	New/Modified Detail's
1			

(Reason for change in Signature : Due to change in Authorized signatories)

ECN activation and other electronic communication for Trading and Demat Account: () **Yes** () **No**

I/We hereby give our consent and authorized you to send digital contract notes, bill, ledgers, statement of funds and securities, transaction statements, Monthly/Quarterly Demat statements of accounts/holding statement(s)/bills or other reports, statement(s), related notices circulars. Amendments and such other correspondence, documents, records by whatever name called (hereafter referred to as "statement(s) issued from time to time, at the above mentioned new email id _____

	First / Sole Holder	Second Holder	Third Holder
Signature			

Declaration: I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief. In case any of the above mentioned 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.

IPV DETAIL'S	SIGNATURE	In-Person Verification Done by	Designation	Date Of IPV

Acknowledge Receipt Date: / /20

App. No.		DEMAT ID	12081000	CLIENT ID						TRADING CODE	
First Holder Name											
Second Holder Name											
Third Holder Name											
Modification Request for: (Specify reason)											

For Khandwala Securities Limited

CKYC & KYC KRA FORM

Know Your Client Application Form (For Individuals only)

(Please fill the form in English and in BLOCK Letters)
Fields marked with "*" are mandatory fields

Application Type* ☐ New ☐ Update KYC Number*
KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

1. Identity Details (Please refer instruction A at the end)

PAN Please enclose a duly attested copy of your PAN Card

Prefix First Name Middle Name Last Name

Name* (same as ID proof)

Maiden Name (if any*)

Father / Spouse Name*

Mother Name*

Date of Birth*

Gender* ☐ M- Male ☐ F- Female ☐ T-Trans gender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others – Country Country Code

Residential Status* ☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National ☐ Person of Indian Origin

Occupation Type* ☐ S-Service ☐ Private Sector ☐ Public Sector ☐ Government Sector ☐ O-Others ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student ☐ B-Business ☐ X-Not Categorised

(1) 

Photo



Signature/Thumb Impression

2. Proof of Identity (PoI)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

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

☐ A- Passport Number Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date

☐ E- Aadhaar Card / Virtual ID * * * * * * * * * * * Please note for Aadhar number only last 4 digit are to be written

☐ F- NREGA Job Card

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

☐ S- Simplified Measures Account - Document Type Code Identification Number

3. Proof of Address (PoA)*

3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* Country* Country Code as per ISO 3166

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

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

Proof of Address*

☐ Passport Number Passport Expiry Date

☐ Voter ID Card

☐ Driving Licence Driving Licence Expiry Date

☐ Aadhaar Card / Virtual ID * * * * * * * * * * * Please note for Aadhar number only last 4 digit are to be written

☐ NREGA Job Card

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

3.2 Correspondence / Local Address Details* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof)

Line 1*

Line 2

Line 3 City / Town / Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* Country* Country Code as per ISO 3166

PAN*										Name									
Type of address given at KYC KRA										Residential		Residential or Business		Business		Registered Office			
City of incorporation										Country of incorporation									
Is the entity involved in / providing any of these services:		Foreign Exchange / Money Changer Services		YES	Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]		YES	Money Laundering / Pawning		YES	Any other information [if applicable]								
				NO			NO			NO									
		☒	☒	☒															
Entity Constitution Type <i>Please tick as appropriate</i>		☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company ☐ Society ☐ AOP/BOI																	
		☐ Trust ☐ Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others specify _____																	

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India

Yes	
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No	
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 (If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

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

^{8/}In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number

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

[illegible]

FATCA Declaration

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

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

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

1.	Is the Entity a <i>publicly traded company</i> (that is, a company whose shares are regularly traded on an established securities market)	Yes ☐ No ☒ (If yes, please specify any one stock exchange on which the stock is regularly traded)		
		Name of stock exchange _____		
2.	Is the Entity a <i>related entity</i> of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes ☐ No ☒ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)		
		Name of listed company _____		
		Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company		
		Name of stock exchange _____		
3.	Is the Entity an <i>active</i> NFE	Yes ☐ No ☒ Nature of Business _____		
		Please specify the sub-category of Active NFE <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td></tr></table>		
4.	Is the Entity a <i>passive</i> NFE	Yes ☐ No ☒ Nature of Business _____		

FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, 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. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Certification:

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

Name	
Designation	
Signature	(4) Place: Date:

Date:
To,
M/s. Khandwala Securities Limited
G-II, Ground Floor, Dalamal House, Nariman Point, Mumbai 400021

Dear Sir/Madam,

Sub: TRADING PREFERENCES.

With reference to my application for opening of trading account with you, I/We _____
hereby giving my consent of Trading Preferences as per the below for my UCC _____

C. TRADING PREFERENCES					
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.					
Exchanges	NSE & BSE				MCX, NCDEX, BSE & NSE
All Segments	Cash/Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
			Not Applicable		Not Applicable
If you do not wish to trade in any of segments / Mutual Fund, please mention here					

(6) 

TARIFF SHEET

Cash Market/ Capital Market						
	TRADING			DELIVERY		
Brokerage	Min (P)	(%)	Slab No.	Min (P)	(%)	Slab No.
1st Side	5	0.05 %		5	0.50 %	
2nd Side (Same Day 2nd Side)	5	0.05 %		5	0.50 %	
Brokerage for Trade to Trade / ODD Lot / Z Group Scrips /				5	0.50 %	

F & O / Derivative Market / WDM											
	EQUITY DERIVATIVES			EQUITY OPTION		NIFTY			BANK NIFTY		
Brokerage	Min (P)	(%)	Slab No.	Per Lot	Slab No.	Min (P)	(%)	Options	Min (P)	(%)	Options
1st Side	5	0.05 %		Rs.100/-		5	0.05 %	Rs.100/-	3	0.05 %	Rs.100/-
2nd Side	5	0.05 %		Rs.100/-		5	0.05 %	Rs.100/-	3	0.05 %	Rs.100/-

Other Charges
Stamp Duty ☒ Yes ☐ No Service Tax ☒ Yes ☐ No
Turnover Tax ☒ Yes ☐ No STT ☒ Yes ☐ No

OTHER CHARGES
STATUTORY COST ☒ Yes ☐ No

Khandwala Securities Ltd. reserves the right to levy additional charges including the following:

Particular	Amount
Duplicate / Physical Contract Notes (CN) issued	Rs.25/- for 1 month period**
Duplicate Sauda Summery issued	Rs.50/- for 2 month period**
	Rs.100/- for 3 month period**
Bounced Cheque / Stop Payment of Cheque	Rs.50/- per instance / instruments**
Interest on debit balance - Standard Rate per Annum	Upto 24%

* For prevailing rates please refer back office interface
** These charges are subject to revision at the sole discretion of Khandwala Securities Ltd. and shall be informed by ordinary post/ email / quarterly account statements / SMS / Notification on the Back office interface

(7) 

NOMINATION FORM FOR DEMAT ACCOUNTS

Annexure - A

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

	Nomination Details							
	Mandatory Details						Additional Details	
	Name of nominee	Share of nominee (%)**	Relationship	Postal Address	Mobile number & E-mail	Identity Number ***	D.O.B. of Nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts:

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in ‘Transmission aspects’).

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

- Name of nominee(s)
- Nomination: Yes / No

2) I hereby authorize _____ (nominee number ____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account or Rs. _____. (Optional) (strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)	Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / First Holder (Mr./Ms.)	(15) 		
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
 - 'Either or Survivor' Accounts - any one of the holder can sign
 - 'First holder' Accounts - only First holder can sign
 - 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP. In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

DECLARATION FORM FOR OPTING OUT OF NOMINATION

(Annexure B to SEBI Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts)

D	D	M	M	Y	Y	Y	Y
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BO UCC/DP IDID																
Client ID (only for Demat account)																
Sole/First Holder Name																
Second Holder Name																
Third Holder Name																
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.																
	Name(s) of holder(s)										Signature(s) of holder*					
Sole / First Holder (Mr./Ms.)											(16) 					
Second Holder (Mr./Ms.)																
Third Holder (Mr./Ms.)																

* Signature of witness, along with name and address are required. If the account holder affixes thumb impression, instead of signature

ADDENDUM TO ADDITIONAL DETAILS REQUIRED FOR DEMAT ACCOUNT

DP ID	1	2	0	8	1	0	0	0	Client ID								Trading code:							
Name of the First / Sole Holder																								
Name of the Second Holder																								
Name of the Third Holder																								
Reason for Closure																								

● **MODE OF OPERATION** for execution of transactions (Transfer ,Pledge & Freeze)

☐ Jointly	☐ Anyone of the Holder
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- Consent for Communication to be received by first account holder /all Account holders :(Tick the applicable box. If not marked the default option would be first holder.

All Holder	☐ First Holder	Email:
	☐ Second Holder	Email:
	☐ Third Holder	Email:

Particulars	First / Sole Holder Signature	Second Holder Signature	Third Holder Signature
Signatures	(21) 		

Acknowledgment Receipt

We hereby acknowledge the receipt of your instruction for closing the following Account subject to verification.

DP ID	1	2	0	8	1	0	0	0	Client ID								Trading code:							
Name of the First / Sole Holder																								
Name of the Second Holder																								
Name of the Third Holder																								
Reason for Closure																								

Instructions to Account Holder(s):

1. Submit a duly-filled RRF if the balances are to be rematerialized.
2. Submit a duly-filled Delivery Instruction Slip (DIS) (off market instruction slip) if the balances are to be transferred to another A/c. This requirement is not applicable in case of "Shifting of Account".

Depository Participant Seal and Signature



Khandwala Securities Limited

SEBI DP Regn. No. IN-DP-55-2015, CDSL DP ID -12081000
G-II, Ground Floor, Dalamal House, Nariman Point, Mumbai 400021
Tel.: 91-22-4076 7373 Fax : 91-22-4076 7377
Email : compliance@kslindia.com, Website : www.kslindia.com

DP TARIFF SHEET-2025

DP Scheme	KSL DP FREE AMC		
Account Category	☐ INDIVIDUAL	☐ INDIVIDUAL (NRI)	☐ CORPORATE
Annual Maintenance Charge	Free	Free	INR 999/-
Debit Instruction from the account	0.05% of the value of the transaction (Min. INR 25/-)	0.05% of the value of the transaction (Min. INR 25/-)	0.05% of the value of the transaction (Min. INR 25/-)
Demat			
Dematerialisation	INR 15/- per certificate or Min. 150/- per DRF request	INR 15/- per certificate or Min. 150/- per DRF request	INR 15/- per certificate or Min. 150/- per DRF request
Rematerialisation	INR 50/- per certificate Or INR 150/- per 100 securities	INR 50/- per certificate Or INR 150/- per 100 securities	INR 50/- per certificate Or INR 150/- per 100 securities
Pledge			
Creation/closure /Invocation	INR 50/- or 0.03% whichever is higher	INR 50/- or 0.03% whichever is higher	INR 50/- or 0.03% whichever is higher
Defreeze	INR 25/-		
DIS Book issue	INR 100/-		
SLBM	INR 100/- or 0.02% whichever is highest		

Notes

1. For availing 'Easiest' facility of CDSL, the charges as levied by CDSL would be collected from clients at actual.
2. GST, education cess and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
3. We reserve the rights to change / add charges with 30 days prior notice.
4. All payments should be in favour of "Khandwala Securities Limited."

I/We have read the understood the “ Schedule of Charges” prescribed above and agree to abide by the same.

(18) 

Signature of First Holder



Signature of Second Holder



Signature of Third Holder

Date : | | | | | | | | |

Declaration for Common Mobile Number and EMAIL ID in a Family Account.

To,
Khandwala Securities Limited
G-II, Ground Floor,
Dalamal House, Nariman Point,
Mumbai 400021

Date:

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Dear Sirs,

Re: Opening of Trading and Demat Account.

With reference to my /our application for opening of a Trading and Demat account with you, I / We hereby declare that I / We want all the SMS and E-Mail alerts on the following Email ID and Mobile No. which are mentioned below respectively as per SEBI Circular No. CIR/MIRSD/15/2011 dated August 02, 2011.

☐ Email ID: _____

☐ Mobile

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No:

Further, I / We confirm that the above details which have been provided by us belong to our Family Member whose details have been provided by us as under:

☐ Name of the family Member: _____

☐ Relationship with the Client: _____

☐ Trading account with **Khandwala Securities Limited** (if Any): _____

I / We also confirm that this request has been given to the Stock Broker under exceptional circumstances as I / We am / are dependent on our family member whose details have been mentioned in this declaration (above) and I / We further confirm that I / We don't have any objection to this and I / We give full consent in this regard .

Further, 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.

Thanking You,

Yours Faithfully,

Client Name: _____

(18) 

Signature

KHANDWALA SECURITIES LIMITED

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Client Signature