



NON-INDIVIDUAL

ACCOUNT OPENING FORM

GOODFLOW SECURITIES PRIVATE LIMITED

Client Code	
Client Name	



Goodflow Securities Private Limited

Know Your Client (KYC)

Application Form (For Non-Individuals Only)

INDEX

NAME OF THE DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT	PAGE NO.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES		
Account Opening Form	- KYC Form - Document captures the basic information about the constituent and an instruction/check list. - Document captures the additional information about the constituent relevant to trading account along with an instruction/check list.	1 - 7
Rights & Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on Exchanges / Depository Participant (Including additional rights & obligations in case of interne/wireless technology-based trading.	14-24
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
Guidance Note - Do's And Don'ts	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges / Fee Structure.	8
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PROPRIETARY TRADING DISCLOSURE		
DISCLOSURE INTERMSOFSEBI CIRCULAR NO. SEBI/MRD/SE/CIR-42/2003DATEDNOVEMBER19, 2003 M/s. GOODFLOW SECURITIES PRIVATE LIMITED. Caters to Institutional, Corporate, High networkth and other retail clients through membership of various exchanges. M/s. Goodflow Securities Private Limited. Besides doing client-based business also does its own investment and/or trading. "Proprietary Trading Disclosure noted"		
NAME OF THE APPLICANT		STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY
		1 / 18
Place		
Date		

CHECKLIST & INSTRUCTIONS/GUIDELINES FOR FILLING NON-INDIVIDUAL KYC APPLICATION FORM

TYPE OF ENTITY	ADDITIONAL DOCUMENTS REQUIRED OVER AND ABOVE PAN, POI AND POA
CORPORATE	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulations, duly certified by the company secretary/ whole time director/ MD (to be submitter every year). • Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day-to-day operations. • Photograph, POI, POA, PAN of individual promoters holding control—either directly or indirectly. • Copy of Memorandum and Articles of Association and Certificate of Incorporation. • Copy of Board Resolution for Investment in security markets. • Authorized signatories list with specimen signatures. • Shareholding pattern.
PARTNERSHIP FIRM	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered partnership firms only). • Copy of Partnership Deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Shareholding pattern.
TRUST	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Certificate of Registration (for registered Trusts only). • Copy of Trust Deed. • List of Trustees certified by Managing Trustees/ CA. • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN of HUF. • Deed of Declaration of HUF or List of Co-Parceners. • Bank Passbook / Bank statement in the name of HUF. • Photograph, POI, POA, PAN of KARTA.
BANKS / INSTITUTIONAL INVESTORS	• Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
UNINCORPORATED ASSO- CIATION OR A BODY OF INDIVIDUALS	• Proof of existence or Constitution document. • Resolution of Managing Body and power of Attorney granted to transact business on its behalf.
ARMY / GOVERNMENT BODIES	• Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years. • Authorized signatories list with specimen signatures. • Self-certification on letter head
REGISTERED SOCIETY	• Copy of Registration Certificate under Society Registration Act. • List of managing committee members. • Committee Resolution for persons authorized to act as authorised signatories with specimen signatures. • True copy of society rules and by-laws certified by Chairman/Secretary.

A. GENERAL INSTRUCTIONS

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

B. PROOF OF IDENTITY (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. PROOF OF ADDRESS (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self-declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. Proof of address in name of spouse may be accepted.
6. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

D. EXEMPTIONS/CLARIFICATIONS TO PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. ONLINE MODE PROCESSING OF KYC:**1. ONLINE KYC**

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be digitally signed using DSC.
- Intermediary attestation on documents (OSV) is exempted.

Know Your Client / CKYC / KRA KYC Form

Application Form (For Non-Individual Only)

Please fill in ENGLISH and in BLOCK LETTERS

Application Number:

KYC Mode: New KYC KYC Modification



A. IDENTITY DETAILS (Please See Guidelines Overleaf)

1. Name of Applicant			
2. Date of Incorporation	DD / MM / v	2A. Date of Commencement of Business	DD / MM / YYYY
3. Registration No. / CIN No.		3A. Place of Incorporation	
4. PAN Card Number		Note: Please enclosed duly attested copy of the PAN Card	
5. Status (Please Tick)	☐ Private Limited Co. ☐ Public Limited Co. ☐ Body Corporate ☐ Partnership Firm ☐ Trust ☐ LLP ☐ HUF ☐ Society ☐ Government Body ☐ NGO's ☐ AOP ☐ FI ☐ FII ☐ Others (Please Specify) _____		

B. ADDRESS / CONTACT DETAILS (Please See Guidelines Overleaf)

1. Address for Correspondence							
City		State		PIN		Country	
2. Contact Details							
Tel. (Off)		Fax No.					
Mobile No.		Email ID					
3. Specify the proof of Address Submitted for Correspondence Address : _____							
4. Registered Office / Permanent Address							
City		State		PIN		Country	
5. Annexure Submitted : Number of Related Persons _____							
6. Specify the proof of Address Submitted for Registered Office / Permanent Address : _____							

DECLARATION

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

Place Date DD / MM / YYYY

STAMP & SIGNATURE OF THE AUTHORIZED SIGNATORY

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FOR OFFICE USE ONLY

AMC / Intermediary Name & Code: M/s. Goodflow Securities Private Limited- ☐ Originals Verified/Self Certified Document Copies Received ☐ Attested True Copies of Documents Received	Employee Name		Company Seal
	Employee Code		
	Designation		
	Date	DD / MM / YYYY	
	Signature		

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

1.	PAN		Name		 3.a / 18
	Residential / Permanent Address				
	DIN / UID For Others				
	Relationship With Applicant				
	E-Mail Id				
	Mobile				
	Politically Exposed Person		☐ PEP ☐ RPEP ☐ NA		
2.	PAN		Name		 3.b / 18
	Residential / Permanent Address				
	DIN / UID For Others				
	Relationship With Applicant				
	E-Mail Id				
	Mobile				
	Politically Exposed Person		☐ PEP ☐ RPEP ☐ NA		
3.	PAN		Name		 3.c / 18
	Residential / Permanent Address				
	DIN / UID For Others				
	Relationship With Applicant				
	E-Mail Id				
	Mobile				
	Politically Exposed Person		☐ PEP ☐ RPEP ☐ NA		
NAME OF THE APPLICANT				STAMP & SIGNATURE OF THE AUTHORIZED SIGNATORY	
				 4 / 18	
Place					
Date	DD / MM / YYYY				

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT DETAILS (Primary)

Bank Name			
Bank Branch Address			
Bank A/c Number		A/c Type	☐ Savings ☐ Current
IFSC Code		MICR Code	

A1. ADDITIONAL BANK ACCOUNT DETAILS (Secondary)

Bank Name			
Bank Branch Address			
Bank A/c Number		A/c Type	☐ Savings ☐ Current
IFSC Code		MICR Code	

B. DEPOSITORY ACCOUNT DETAILS

Depository Name			
Depository Type	☐ CDSL ☐ NSDL	DP ID	
Name of Applicant			
Beneficiary ID (BO ID)			

C. OTHER DETAILS (Please see guidelines overleaf)

1. Gross Annual Income Range	☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lac-1 Cr ☐ Above 1 Cr
2. Net-worth Details in Rs.	Rs. _____ As on Date DD / MM / YYYY (Net-worth Should not older than 1 Year)
3. Occupation Details Please Tick Any One & Give Brief Details)	☐ Private Sector ☐ Public Sector ☐ Govt. Services ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others ____
4. Nature of Business	_____ (Mandatory, if Occupation Selected as Business/Professional)
5. Please tick, if applicable	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP)
6. Whether you wish to receive	☐ Physical Contract Note OR ☐ Electronic Contract Note (ECN) Specify your Email ID, for ECN: _____
7. Client Category (Commercial Non-Commercial Participant)	☐ Value Chain Participant ☐ Exporter ☐ Importer ☐ Hedger ☐ Financial Participant ☐ Trader ☐ Arbitrager ☐ Others
8. Whether you wish to avail the facility of internet trading/wireless technology/mobile trading:	☐ Yes ☐ No
9. Number of years of Investment/Trading Experience:	Specify: _____
10. Any Other Information :	_____

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock Exchange/any other authority against the applicant/constituent or its Partners/ Promoters/ Whole-Time Directors/ Authorized Persons in charge of dealing in securities during the last 3 years:

E. 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**

All Exchanges

Cash

F&O

Commodity

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If you do not wish to trade in any of segments / Mutual Fund, please mention here _____

F. DEALINGS THROUGH SUB-BROKER / AUTHORIZED PERSON AND OTHER STOCK BROKERS

1. If Client is dealing through the Sub-Broker, provide the following details:

Sub-Broker Name

SEBI Registration No.

Registered Office Add.

Phone:

Website:

2. Whether dealing with any other Stock Broker/Sub-Broker/Authorized Person, Provide details of all :

Name of Stock Broker

Name of Sub-Broker / Authorized Person

Client Code

Exchange

G. INTRODUCER DETAILS

Name of the Introducer

Add. Of the Introducer

Introducer Status

☐ Sub-Broker☐ Remisier☐ AP☐ Existing Client☐ Employee☐ Others

Signature of Introducer

DECLARATION

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

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the Stock Broker and the Tariff Sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) 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.

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

NAME OF THE APPLICANT**STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY**

Place

Date

DD / MM / YYYY

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FOR OFFICE USE ONLY									
UCC Code									
Employee Details		Documents Verified With Original		Client Interviewed By			In-Person Verification Done by		
Name of the Employee									
Employee Code									
Designation of the Employee									
Date		DD / MM / YYYY		DD / MM / YYYY			DD / MM / YYYY		
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.							Stamp & Signature of Authorized Signatory (GFSP)		
							Company Seal		
TARIFF SHEET									
MANDATORY									
☐ OPTION 1									
BROKERAGE DETAILS									
	CASH SEGMENT		F&O FUTURE			F&O OPTION			
	Min (Paise)	Max (%)	Min (Paise)	Min Per Lot (Rs.)	Max (%)	Min (Paise)	Min Per Lot (Rs.)	Max (%)	
One Side									
Both Side									
Delivery Brokerage									
BROKERAGE DETAILS - COMMODITY									
	FUTURES			OPTIONS					
	Min (Paise)	Min Per Lot (Rs.)	Max (%)	Min (Paise)	Min Per Lot (Rs.)	Max (%)			
One Side									
Both Side									
Delivery Brokerage									
☐ OPTION 2									
For Equity Intraday/Delivery/Futures flat Rs.20 or 2% (whichever is lower) Per Executed Order. Equity flat Rs.20 Per Executed Order. Interest @ 12% p.a will be charged on the outstanding bill / margin amount if not paid within the due date. The above tariff is subject to change. Changes if any will be intimated 30 days in advance. Annual Maintenance Charge (AMC) is non-refundable. GST, applicable on all above charges except stamp charges. Stock Delivery handling charges will be 20/- Per script Penalties Charged by Exchanges / SEBI / Any Regulatory Authorities ONLY if it is due to Clients Defaults / Errors / Violations. DP Interest @ 12% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any be intimated 30 days in advance. Annual Maintenance Charge (AMC) is non-refundable.									
NAME OF THE APPLICANT					STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY				
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KYC Information & FATCA-CRS Declaration – Non-Individual

(Please consult your professional tax advisor for further guidance on your tax Residency, FATCA / CRS Guidance)

PAN No.		Client Name	
City of Incorporation		Country of Incorporation	
Annual Income Range	☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lac-1 Cr ☐ Above 1 Cr		
Net-worth in Rs.	Rs. _____ As on Date <u>DD / MM / YYYY</u> (Net-worth Should not older than 1 Year)		

Is the entity involved in / providing any of the following services:

Foreign Exchange / Money Changer Services	☐ Yes	☐ No
Gaming/ Gambling / Lottery Services [e.g. casino betting syndicates]	☐ Yes	☐ No
Money Laundering / Pawning	☐ Yes	☐ No
Any other information [if applicable] _____		

Entity Constitution Type (Please tick as appropriate)	☐ Private Limited Co. ☐ Trust ☐ Government Body ☐ FII	☐ Public Limited Co. ☐ LLP ☐ NGO's ☐ Others (Please Specify) _____	☐ Body Corporate ☐ HUF ☐ AOP	☐ Partnership Firm ☐ Society ☐ FI
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Please tick the applicable tax resident declaration –

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

☐ Yes ☐ No

(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

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 _____

DECLARATION

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

1.	We are a, financial institution OR Direct reporting NFFE	☐ Yes ☐ Yes	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 _____
2.	GIIN not available (please tick as applicable) ☐ 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 publicly traded company 1 that is, a company whose shares are regularly traded on an established securities market	(If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____	☐ Yes ☐ No
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	(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 _____	☐ Yes ☐ No
3.	Is the Entity an active NFE	(If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE _____	☐ Yes ☐ No
4.	Is the Entity a passive NFE	(If yes, please fill UBO declaration in the next section) Nature of Business _____	☐ Yes ☐ No

UBO DECLARATION

Please list below the details of controlling person(s), confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

- Details of Ultimate Beneficiary Owner as Follows:

- Name of Beneficial owner/ Photograph / Controlling person / Country-Tax Residency / Tax ID No / Tax ID Type-TIN or Other / Beneficial Interest in % / Address Contact Details / PAN / City & Country of Birth / Occupation / DOB / Gender

IN CASE OF INDIVIDUAL - BENEFICIARY OWNER / CONTROLLING PERSON

1.	Photograph ☐ Tick Here If same as per Page no.2 KRA Annexure	Name			PAN No			
		Full Address						
		Tax ID Number		Tax ID Type		DOB	DD / MM / YYYY	
		City Of Birth		Occupation		Gender		
		Beneficial Interest %		Country of Tax Residency				
2.	Photograph ☐ Tick Here If same as per Page no.2 KRA Annexure	Name			PAN No			
		Full Address						
		Tax ID Number		Tax ID Type		DOB	DD / MM / YYYY	
		City Of Birth		Occupation		Gender		
		Beneficial Interest %		Country of Tax Residency				
3.	Photograph ☐ Tick Here If same as per Page no.2 KRA Annexure	Name			PAN No			
		Full Address						
		Tax ID Number		Tax ID Type		DOB	DD / MM / YYYY	
		City Of Birth		Occupation		Gender		
		Beneficial Interest %		Country of Tax Residency				
4.	Photograph ☐ Tick Here If same as per Page no.2 KRA Annexure	Name			PAN No			
		Full Address						
		Tax ID Number		Tax ID Type		DOB	DD / MM / YYYY	
		City Of Birth		Occupation		Gender		
		Beneficial Interest %		Country of Tax Residency				
5.	Photograph ☐ Tick Here If same as per Page no.2 KRA Annexure	Name			PAN No			
		Full Address						
		Tax ID Number						
		City Of Birth						
		Beneficial Interest %						

IN CASE OF ENTITY - BENEFICIARY OWNER / CONTROLLING ENTITY

1.	PAN Of Entity		Name of Entity	
	Address of Entity			
	Reg. / CIN No.		Place of Incorporation	
	Date of Incorporation	DD / MM / YYYY	Date of Commencement of Business	DD / MM / YYYY
	Tax ID Number		Tax ID Type	
	Beneficial Interest %:			

2.	PAN Of Entity		Name of Entity	
	Address of Entity			
	Reg. / CIN No.		Place of Incorporation	
	Date of Incorporation	DD / MM / YYYY	Date of Commencement of Business	DD / MM / YYYY
	Tax ID Number		Tax ID Type	
	Beneficial Interest %:			

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

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

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

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 with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

CERTIFICATION

I/We 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/We also confirm that I/We have read and understood the FATCA Terms and Conditions above and hereby accept the same.

NAME OF THE APPLICANT**STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY**

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RUNNING ACCOUNT AUTHORIZATION

To,
M/s. Goodflow Securities Private Limited

To optimize the operational efficiency of my/our trading account, I/we request M/s. Goodflow Securities Private Limited to maintain a running balance in my/our account, as opposed to effecting fund/securities settlements on a settlement-to-settlement basis.

I/We authorise you as under:

1. I/We hereby give my/our consent to maintain a running balance in my/our account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct /revoke you otherwise.
2. I/We request you to settle my/our fund and securities account (choose any one the following options)
☐ Once In a Calendar Month ☐ Once in a Calendar Quarter
3. The settlement of running account shall be done by you in accordance with the circulars/guidelines issued by SEBI/Exchanges from time to time and as per the Risk Management Policy of M/s. Goodflow Securities Private Limited available on its website.
4. I/We hereby confirm that I/We shall promptly notify you of any disputes arising from the statement of accounts or settlement so made in writing, preferably within 30 days from the date of receipt of funds/securities or the statement of account, or any related statement, as applicable.
5. I/ We understand that there will be no inter client adjustment while settling my account even other client is related to me.
6. Further, I/We authorise you to deposit/repledge any or all the securities kept as collateral by me/us with the Exchanges and/or their Clearing Corporation/House/Member towards margin, as permitted from time to time.
7. I/We can request for the release of pay-out any time after adjusting all dues towards M/s. Goodflow Securities Private Limited.
8. I/We hereby confirm that I/We have the right to revoke the aforementioned authority at any time. This authorization for the running account shall remain in effect until such time as it is duly revoked by me/us.

Note: The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

NAME OF THE APPLICANT		STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATOR
Place		12 / 18
Date	DD / MM / YYYY	

CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS

To,
M/s. Goodflow Securities Private Limited

I/We hereby acknowledge receipt of the following documents:

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology-based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
5. General Terms and Conditions governing securities trading and broking services of M/s. Goodflow Securities Private Limited and All other mandatory and voluntary client registration documents.
6. Receipt and acceptance of all policies and procedures of Goodflow Securities Private Limited and also available on www.goodflowsecurities.com
7. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I state that I have read and understood all above documents and these documents are binding upon me.

NAME OF THE APPLICANT		STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY
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AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

I/We hereby consent to receive from AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

I/We hereby consent to receive from M/s. Goodflow Securities Private Limited the digital contract notes, bills, ledgers, transaction statements, /holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the rules made thereunder to my/our below mentioned E-mail Id (said E-mail Id).

EmailID: _____

I/We further hereby agree that GFSPL shall fulfil the legal obligation, if the above documents are sent electronically to the said E mail Id and I/we am/are aware that I/we will not receive the statements/documents in paper form. In this regard, I/we further confirm and agree that: -

1. The above is my/our personal E-mail Id. The same has been created by me/us and not by someone else. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above-mentioned E-mail account. GFSPL shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/our aforesaid E- mail Id
2. E-mails sent to any of the above-mentioned E-mail accounts, which have not bounced back, shall be deemed to be duly delivered to me/us. I/We am/are aware that non-receipt of bounced email notification by the member shall amount to delivery of the Contract Note and other documents to the above-mentioned E-mail Id(s)
3. GFSPL shall not take cognizance of out-of-office/out of station auto replies and I/we shall be deemed to have received such electronic mails. Such Statements shall be deemed to have been delivered on the day when the E-mail is sent by GFSPL
4. GFSPL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof
5. GFSPL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from GFSPL
6. I/We shall inform GFSPL by way of a letter in writing duly signed by me/us or informed through an internet platform if there is any change in the E-mail given above
7. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with GFSPL. My/Our non-verification or not accessing the Statement on a regular basis shall not be a reason for disputing the same at any time
8. Further I/we agree and undertake to indemnify GFSPL and its group companies, that they will not be held liable/responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc. that may arise in future on account of my/our above authorization request
9. In case of bounced E-mail, GFSPL shall send physical copy of contract note to me/us within the stipulated time under the extant regulations of SEBI/stock exchanges

NAME OF THE APPLICANT		STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY
Place		
Date	DD / MM / YYYY	 14 / 18

SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES & CONSENT FOR SAME MOBILE & EMAIL

To,
M/s. Goodflow Securities Private Limited

I Request you to enrol me for the following facility offered by the Stock Exchanges / Depository pursuant to above referred SEBI circular.

Mobile No		Email ID	
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I hereby declare that the aforesaid mobile number belongs to: _____

Relationship : ☐ Self ☐ Spouse ☐ Dependent Parents ☐ Dependent Children's ☐ Others _____

I hereby declare that the aforesaid E-mail ID belongs to: _____

Relationship : ☐ Self ☐ Spouse ☐ Dependent Parents ☐ Dependent Children's ☐ Others _____

I request you to update the same in my trading and DEMAT account and send all the Confirmations and other communication through SMS and E- mail ID.Further, I authorize M/s. Goodflow Securities Private Limited (GFSPL) that the same may be used for giving me any information/alert/SMS. I further declare the above-mentioned statement is true and correct

NAME OF THE APPLICANT	STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY
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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, net worth, 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. .

NAME OF THE APPLICANT**STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY** 16 / 18

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

To,
M/s. Goodflow Securities Private Limited

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

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

NAME OF THE APPLICANT

STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY



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RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

risk.

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

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

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

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

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

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

2.2 Currency specific risks:

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

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

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

2.3 Risk of Option holders:

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

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

2.4 Risks of Option Writers:

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

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even

where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

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

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

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

4. GENERAL

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

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

RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.

2. The stock broker, and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.

5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.

CLIENT INFORMATION

6. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.

7. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.

8. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.

9. The stock broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

10. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

11. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

12. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

13. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

14. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

15. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

16. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

18. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

19. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate Entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

20. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

21. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

22. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

23. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

24. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

25. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

26. The stock broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

ADDITIONAL RIGHTS AND OBLIGATIONS

27. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

28. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

29. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

30. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

31. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

32. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter- alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

33. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

34. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

35. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

36. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

37. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

1. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

2. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

3. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

5. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

6. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

7. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

8. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

38. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

POLICIES AND PROCEDURES FOR CLIENT DEALINGS

A. REFUSAL OF ORDERS FOR PENNY STOCKS:

The broker reserves its right to accept orders for buy or sell of stocks that quote at a relatively low price or have low floating stock. They will not be held responsible for any loss of opportunity by the client.

B. SETTING UP CLIENT'S EXPOSURE LIMIT:

The Client is aware and agrees that the trading exposure limit provided to each client may not be of the same multiple, and it is the discretionary prerogative of the broker to allow distinct permissible exposure to each client. The broker may seek up to 100% margin before accepting any order.

C. BROKERAGE RATE:

Brokerage will be charged to the clients at rates not exceeding the limit prescribed by the Exchange and at the value which is mutually agreed between the Client and the broker.

D. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES, SPECIFYING THE RATE AND THE PERIOD NOT RESULTING IN FUNDING BY THE BROKER IN CONTRAVENTION OF THE APPLICABLE LAWS:

The Client has executed a 'Running account authorization' in favour of the broker with the intent to have a ready margin to meet his or her/their trading needs. No interest is payable by the broker on credit balances if any. The broker is not into the business of funding client positions, delayed payment will be charged of 1½% per month.

E. THE RIGHT TO SELL CLIENT'S SECURITIES OR CLIENT'S POSITIONS, ON ACCOUNT OF NON-PAYMENT OF CLIENT'S DUES (THIS SHALL BE LIMITED TO THE EXTENT OF SETTLEMENT/MARGIN OBLIGATION):

In the event of non-payment of settlement obligations, the broker reserves the right to liquidate securities or open positions of the client to the extent of clearing the debit balance standing in a financial ledger or margin obligation.

F. CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT:

Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further / fresh position.

G. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements, etc. from the client-side, the broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Such Circumstances may include (but not limited to) :

- a) Failure to meet pay-in obligation on T+1 day.
- b) Delay in meeting the pay-in or margin requirement.
- c) Delay or failure in the clearance of outstanding or dues to the broker.
- d) Returning or frequent returning of cheque of the client.
- e) Unnecessary / Unwarranted dispute from the client without any substantial cause/reason.
- f) Client's attitude of not coming to the amicable settlement for any dispute that can be settled without the involvement of Exchange and/or SEBI.
- g) As per the prevalent RMS policy of the Broker.
- h) Any direction from SEBI/Exchange or such other authorities, (ix) Under such other circumstances as the Broker might think just and proper on case-to-case basis.

H. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT BASED AT THE CLIENT'S REQUEST:

The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in the following circumstances:

- a) As per Client's prior written request of at least 3 days submitted to broker at its Pune H.O. duly acknowledged by broker (Subject to clearance of entire outstanding/obligations).
- b) Dormant or in-active status of the client beyond specified time limit as may be prescribed by broker.
- c) Under any circumstances mentioned in (i) to (ix) above.

I. DEREGISTERING A CLIENT:

Notwithstanding anything to the contrary stated in the mandatory and voluntary client registration documents, the stockbroker shall be entitled to terminate the mandatory and voluntary client registration document's, with immediate effect in any of :

- a) Regulatory actions of the SEBI or any of its arms;
- b) Commencement of a legal process against the client under prevailing laws of the land;
- c) Death or lunacy or disability resulting in the inaction of the client.
- d) Breach of any term, condition or covenant of this mandatory & voluntary client registration document's
- e) Detection of misrepresentation of facts by the client;
- f) The client having voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- g) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

J. TAPE RECORDING OF THE CONVERSATION

The client is aware that the member may record the conversation between the client and the member.

K. DISPLAY OF POLICY AND OTHER INFORMATION ON THE WEBSITE OF MEMBER/ EXCHANGE/SEBI

The client is aware that the policies/ procedures of the member and other information are regularly hosted on the website of the member and he shall ensure to keep himself updated with the same. The client also agrees to keep himself updated with the circulars hosted on the SEBI/ exchange website

The client is also aware that Investor grievance email ID, Policy & Procedures, Copy of Standard KYC, Risk Management Policy, Literature of AML requirement, Links to the website of SEBI and Stock Exchanges of which Stock Broker is a member, other Information that a trading member is required to furnish to his clients is hosted on member's website as well as available on-demand from member's office.

L. NO MARKET MANIPULATION

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

M. PMLA DECLARATION

I/We declare that I/we have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by GFSPL officials. I/We further declare that I/we shall adhere to all the provisions of the PMLA Act, 2002 I/We further undertake and confirm that;

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

N. THIRD-PARTY PAYMENTS

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

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

O. DELIVERIES & Shortages Arising from Internal Netting of Trades

The client shall ensure that the shares are properly transferred to the designated DEMAT account of GFSPL, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/GFSPL. In case the client fails to transfer the shares on time to GFSPL, GFSPL shall not be responsible for any loss/damages arising out of such delayed transfers. Any shortage arising due to **internal netting of trades, short delivery, or delayed transfer of securities** shall be the responsibility of the Client, and all resulting auction, close-out charges, penalties, losses, or other costs shall be borne by the Client

P. INDEMNIFICATION

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

Q. NO DEALINGS IN CAS

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

R. LOSS DUE TO TECHINCAL GLITCH/ANY ISSUE

I/We agree that I/we will not be compensated by the broker for any loss opportunity viz. notional profits on buy/sell orders which could not be executed due to any reason whatsoever, including but not limited due to time lag in the execution of the order or the speed at which the system of the broker/ the Exchanges is operating, any shutting down by the broker of my/our system for any reason or the broker disabling me/us from trading on its system for any reason whatsoever.

NAME OF THE APPLICANT		STAMP & SIGNATURE OF THE ALL AUTHORIZED SIGNATORY
		 18 / 18
Place		
Date	DD / MM / YYYY	

DETAILS OF TRADING AND CLEARING MEMBER

Name Of Stock Broker	: Goodflow Securities Private Limited
Registered Office	: 6th Floor, Office 612/613, Hive 67, Icon, Poisor Gymkhana Road, Lokmanya Tilak Nagar, Poisor, Near Raghuleela Mall, Kandivali West, Mumbai 400067
Corporate Office	: 6th Floor, Office 612/613, Hive 67, Icon, Poisor Gymkhana Road, Lokmanya Tilak Nagar, Poisor, Near Raghuleela Mall, Kandivali West, Mumbai 400067
Telephone Numbers	: 022-47839261 Fax: 022-47839261
Email	: info@goodflowsecurities.com
Cin	: U67100MH2021PTC365713
Pan	: AAJCG1998B
SEBI Registration No	: INZ000303634
Membership No	: NSE Membership Code : 90255 BSE Membership Code : 6830
Clearing Member Name	: Goodflow Securities Private Limited
Compliance Officer Name	: Harshit Mukesh Taliwal
Phone No.	: 022 47839261
Email Id	: grievance@goodflowsecurities.com
Director Name	: Harshit Mukesh Taliwal
Phone No.	: 022 47839261
Email Id	: info@goodflowsecurities.com

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI office or toll-free Helpline at 1800-22-7575 / 1800-266-7575. For more details, please visit our website www.goodflowsecurities.com.

For any grievance/dispute please contact **Goodflow Securities Private Limited** at the above address or email id: grievance@goodflowsecurities.com and Phone no. 022-47839261. In case not satisfied with the response, please contact the concerned exchange(s) at their Contact details given below:

BSE Limited (BSE)

Tel. No.: +91 22 2272 1233/34

Investor Services email ID.: is@bseindia.com

Investor Services Tel. No.: +91 22 2272 8097

MSEI

Tel.: +91 22 61129028

E-mail ID: investorcomplaints@msei.in

NSE Limited (NSE)

Tel. No.: +91 22 2659 8190 / 1800 2200 58

Investor Services email ID.: ignse@nse.co.in

CDSL

Tel.: 1800 2005 533

E-mail ID: complaints@cdslindia.com